

# **USAID/REDSO/ESA**

## **RESULTS REVIEW AND RESOURCE REQUEST (R4)**

2001-12-04

***Please Note:***

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USAID Development Experience Clearinghouse  
1611 N. Kent Street, Suite 200  
Arlington, VA 22209-2111  
Telephone: 703/351-4006 Ext. 106  
Fax: 703/351-4039  
Email: [docorder@dec.cdie.org](mailto:docorder@dec.cdie.org)  
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## Table of Contents

<b>MEMORANDUM.....</b>	<b>2</b>
<b>Please Note:.....</b>	<b>6</b>
<b>Glossary .....</b>	<b>7</b>
<b>Overview Factors Affecting Program Performance.....</b>	<b>10</b>
<b>SO Text for SO: 623-001 Effective program and technical support to ESA Missions.....</b>	<b>14</b>
<b>SO Text for SO: 623-002 Increased utilization of critical information by USAID and other decision-makers in the region .....</b>	<b>20</b>
<b>SO Text for SO: 623-003 Establish a strong basis for implementation of the Greater Horn of Africa Initiative (GHAI) .....</b>	<b>33</b>
<b>SO Text for SO: 623-005 -Enhanced African Capacity to Achieve Regional Food Security .....</b>	<b>41</b>
<b>SO Text for SO: 623-006 Enhanced Capacity for Managing Conflict in the Region.....</b>	<b>45</b>
<b>SO Text for SO: 623-007 Enhanced Regional Capacity to Improve Health Systems .....</b>	<b>49</b>
<b>R4 Part III: RESOURCE REQUEST.....</b>	<b>53</b>
<b>OE and Workforce Narrative: - Summary Statement .....</b>	<b>54</b>
<b>USAID/SUDAN FY 2003 R4 - OE Budget Request Narrative .....</b>	<b>57</b>
<b>Information Annex Topic: Environmental Impact .....</b>	<b>59</b>
<b>Information Annex Topic: Non-presence Countries (npcs) - Burundi.....</b>	<b>61</b>
<b>Part II: Results Review for the Transition Action Plan Objective.....</b>	<b>64</b>
<b>Institutional and Organizational Development Annex .....</b>	<b>68</b>
<b>Information Annex Topic: Updated Results Framework Annex.....</b>	<b>71</b>

## MEMORANDUM

April 10, 2001

Ms. Valerie Dickson-Horton  
Acting Assistant Administrator  
USAID Bureau for Africa

Dear Ms. Dickson-Horton:

REDSO/ESA has had another busy and productive year. Much effort went into finalizing our new 2001-2005 Strategy, approved in August 2000. Since then, our 3 new Strategic Objective (SO) teams have been working with regional African partners and stakeholders to develop detailed Performance Monitoring Plans. REDSO's new strategic framework encompasses the former Greater Horn of Africa Initiative (GHAI) objectives of enhancing African capacity to achieve food security and to manage conflict and adds a new SO to enhance regional capacity to improve health systems (with an emphasis on combating HIV/AIDS). This past year we've also put in place new Integrated Strategic Plans (ISPs) for Sudan and Somalia and an interagency Transition Plan for Burundi. In collaboration with client USAIDs, we've developed a Regional Framework defining how we coordinate and cooperate and outlining mutual priority areas of program emphasis.

REDSO's portfolio of regional activities in all sectors continued to achieve notable results last year. The PHN team expanded partnerships and networks to improve transnational cooperation in addressing the HIV/AIDS pandemic. The world's fourth largest Free Trade Area was launched last year by the Common Market for East and Southern Africa (COMESA), a principal REDSO partner. Continuing its focus on critical food crops, the Association for Strengthening Agricultural Research in East and Central Africa (ASARECA) – using REDSO support -- developed and disseminated mosaic resistant cassava throughout the region, resulting in yield increases of 150-200 percent. Finally, REDSO has supported virtually every significant peace initiative, as well as numerous transnational conflict mitigation activities in the ESA region.

Internally, REDSO/ESA focused on numerous operational improvements. These included the re-establishment of periodic Program Implementation Reviews (PIR) and improved systems to analyze program expenditures, accruals and pipeline information. As a result, REDSO/RFMC was able to de-obligate and return to USAID/W over \$12 million in old monies and to reprogram another \$3.5 million to fund ongoing activities. Other steps taken included the establishment of a Process Improvement Committee and a Good Ideas Award program resulting in streamlined operations and in numerous cost/time-saving measures. Because of aggressive OE cost cutting measures, REDSO and the Kenya Complex are within the Bureau's control numbers for FY 2001, although we are slightly above 2002/2003 figures (please see OE section narrative for details).

## Management and Resource Issues

Offsetting the good news above (including much better news on OE than projected last year) is the less-than-good news on USDH staffing and Operating Year Budget and sector control levels.

**Workforce:** Last year our USDH workforce was cut from 21 to 18. As agreed with the Africa Bureau, we will delete our Supervisory ADO, Program Economist and second Program Officer position to meet this ceiling. However, given REDSO's increased mandate to manage a regional program in conflict, food security and health, to manage non-presence portfolios in Sudan, Somalia, and Burundi, and to continue providing critical services to client missions throughout the ESA region, these USDH cuts exact a toll. We're already greatly concerned by staff burnout and a lack of redundancy that makes even normal leave planning and routine TDY scheduling a challenge. These cuts, as discussed during USAID/W strategy reviews, will result in decreased technical services to the region. We're also deeply concerned about increased vulnerabilities, as evidenced by the growing number of negative audit findings throughout the region.

We'll attempt to fill some of these personnel gaps through hiring contract personnel or use of interagency agreements. We'll also continue to work with AFR/SD and the Global Bureau to provide additional technical staff to the region. Finally, we'll beef up staffing in our Non-Presence Country (NPC) and Program Development and Implementation (PDI) offices to manage expanded activities in Sudan and Burundi. However, to address the vulnerability issue, we're also including in our OE narrative a request for a New Entry Professional (NEP) financial management position in RFMC. Since RFMC is a fertile training ground for new FM staff and because the ESA region has significant unmet needs and coverage gaps, an additional USDH slot would be a win/win proposition for AFR. Similarly, we're requesting a NEP trainee position in the Executive Office to help with the greatly increased workload due to New Office Building (NOB) construction. USAID/Kenya has included separate USDH position requests in its R4.

**Operating Year Budget and Sector Controls:** In FY 2001, REDSO's NOA control level is only \$16.8 million, or almost \$2.5 million under the minimum request level (\$19.2 M) approved by USAID/W during our strategy review last August. Through judicious use of pipeline funds and reprogramming of old monies we'll be able to fund most existing mortgages but cannot start any new activities, as planned in our new strategy. In FY 2002, our NOA, at \$18.4 million, is still \$800,000 under our minimum request and almost \$7 million under the level (\$25.2 M) we stated we'd need to achieve significant results on a regional level. Because we'll have expended most of our available pipeline monies by 2002, it will also mean that we'll have virtually no new starts in FY 2002 unless we cut existing activities to fund them. The hardest hit sector, a 35 percent cut in our Democracy/Governance funds, will severely limit results under our Conflict SO #6, including phasing out or scaling back our quick response conflict funding mechanisms (CPAF and CQUICK) and being unable to undertake new conflict vulnerability assessments other than those currently planned for Rwanda and Eritrea. 30 percent cuts in our Environmental levels will similarly halt any new starts in this sector.

In a nutshell, these budget cuts constitute significant changes to the new Management Contract approved by USAID/W a scant 7 months ago. These cuts also raise critical concerns regarding REDSO's ability to support USG and Africa Bureau objectives in the ESA region. While we

know this is an Agency-wide problem, absent adequate OYB levels and sector controls we won't be able to achieve impact at a regional level. Although REDSO staff has worked hard to operationalize the new strategy, given these budget levels we believe it is unrealistic to move forward on the strategy as currently designed. During the PMP development process, REDSO will request that each SO team revisit their initial projected results and revise them to reflect these reduced funding levels. At current levels, the Conflict Objective (SO 6), in particular, will likely be scaled back to a Special Objective. Africa Bureau views on how to proceed are welcomed.

Sincerely,

Dirk Dijkerman  
Regional Director

## Glossary

AAAS	-	American Association for the Advancement of Science
ACTS	-	African Centre for Technology Studies
AFR/EA	-	Africa Bureau's Office of East African Affairs
AFR/SD	-	Africa Bureau's Office of Sustainable Development
AFRENA	-	Agroforestry Research Network for Africa
ASARECA	-	Association for Strengthening Agricultural Research in Eastern and Central Africa
AVSC	-	Association for Voluntary & Safe Contraception
CA	-	Cooperative Agreement
CAFS	-	Centre for African Family Studies
CECORE	-	Center for Conflict Resolution
CEDPA	-	Center for Development and Population Activities
CEWARN	-	Conflict Early Warning and Response Network
COMESA	-	Common Market for East and Southern Africa
CSD	-	Child Survival and Diseases
CPAF	-	Conflict Pilot Activities Fund
CPMR	-	Conflict, Prevention, Mitigation and Response
CPN	-	Conflict Prevention Network
CQUICK	-	Conflict Quick Response Fund
CRHCS	-	Commonwealth Regional Health Community Secretariat
DA	-	Development Assistance
DJCC	-	Directors' Joint Consultative Committee
DMC	-	Drought Monitoring Center
DROC	-	Democratic Republic of Congo
EAC	-	East Africa Cooperation
EASSI	-	Eastern Africa Sub-Regional Support Initiative
EATI	-	East African Transportation Initiative
ECHO	-	European Community Humanitarian Office
ESA	-	East and Southern Africa
ESABO	-	East and Southern Africa Business Organization
EU	-	European Union
FANTA	-	Food and Nutrition Technical Assistance (FANta)
FES	-	Friedrich Ebert Stiftung
FEWER	-	Forum for Early Warning and Early Response
FSN	-	Foreign Service National
FTA	-	Free Trade Area
GHA	-	Greater Horn of Africa
GHAJ	-	Greater Horn of Africa Initiative
GLJI	-	Great Lakes Justice Initiative
HASP	-	Horn of Africa Support Project
HIV/AIDS	-	Humane Immuno-deficiency Virus/Acquired Immune Deficiency Syndrome
HN	-	Health Networks
IARC	-	International Agricultural Research Center

ICAAS	-	International Cooperative Administrative Support Services
ID	-	Infectious Diseases
IDA	-	International Disaster Assistance
IEE	-	Impact Environment Evaluation
IGAD	-	Intergovernmental Authority on Development
IOB	-	Interim Office Building
IQC	-	Indefinite Quantity Contract
IR	-	Intermediate Result
ISGM	-	Institutional Strengthening and Grant Making
ISP	-	Integrated Strategic Plan
JIPF	-	Joint IGAD Partners Forum
KENET	-	Kenya Education Network
LSGA	-	Limited Scope Grant Agreement
NEP	-	New Entry Professional
NGO	-	Non-Governmental Organization
NHA	-	National Health Accounts
NOB	-	New Office Building
NPC	-	None Presence Countries
NRM	-	Natural Resources Management
NXP	-	Non Expendable
OAU/IBAR	-	Organization of African Unity Intergovernmental Bureau for Animal Resources
OE	-	Operating Expenses
OFDA	-	Office of Foreign Disaster Assistance
OYB	-	Operating Year Budget
PDI	-	Program Development and Implementation
PHN	-	Population, Health, Nutrition
QOC	-	Quality of Care
RAISE	-	Rural and Agricultural Incomes with a Sustainable Environment
RCQHC	-	Regional Center for Quality of Health Care
REDSO/ESA	-	Regional Economic Development Services Office for East and Southern Africa
RFMC	-	Regional Finance Management Center
RLA	-	Regional Legal Advisor
RTAA	-	Regional Trade Analytical Agenda
SOTA	-	State-of-the-Art
SSO	-	Strategic Support Objective
STARS	-	Scheduling, Tracking, Analysis and Reporting System
STD	-	Sexually Transmitted Disease
TTCA	-	Transit Traffic Coordination Authority for the Northern Corridor
TNG	-	Transition National Government
UN	-	United Nations
UNDP	-	United Nations Development Program
UNICEF	-	United Nations Children's Fund
UNSPPA	-	Uganda National Seed Potato Producers Association
USAID/W	-	US Agency for International Development, Washington



USDA	-	United State Department of Agriculture
USDH	-	United State Direct Hire
USG	-	United States Government
USPSC	-	United States Personal Service Contractor
WIOMSA	-	Western Indian Ocean Marine Sciences Association
WTO	-	World Trade Organization

## **Overview Factors Affecting Program Performance**

Developments in the Region: 2000 was again a year of challenges and opportunities for the ESA region. Due to drought and conflict in the Greater Horn and Great Lakes regions and flooding in Southern Africa, some 18 million people in 16 countries are now faced with exceptional food emergencies.<sup>1</sup> Regional conflict in the Congo, civil wars in Sudan and Somalia and armed insurgencies in Rwanda, Angola, Burundi and Uganda continue to destabilize the region and hinder development efforts. The HIV/AIDS pandemic, now infecting over 23 million people -- most of whom live in East and Southern Africa -- is greatly reducing life expectancy, doubling mortality rates and crippling productive capacity in all sectors.

Against this sobering backdrop, progress was made in ending conflict in the region, with the cessation of hostilities between Ethiopia and Eritrea, stepped up negotiations on the DRC and some positive signs that combatants intend to pull back or withdraw troops from eastern Congo. The Somalia Transition National Government (TNG) made nascent attempts at national reconciliation. The Somaliland administration's achievements in promoting peace, security and economic development continue to serve as a model for other post-conflict countries.

REDSO supported conflict management initiatives progressed well during this period. In November 2000, Member States of the Intergovernmental Authority on Development (IGAD) endorsed the establishment of a Conflict Early Warning and Response Network (CEWARN) mechanism to prevent and mitigate conflict in the Horn. IGAD's Sudan Peace Secretariat in Nairobi kept dialogue alive between the Government of Sudan and opposition leaders in the south. In March 2001, recognizing that conflict is a major constraint to trade and investment, the Common Market for Eastern and Southern Africa (COMESA) drafted a new protocol to establish a legal framework for Member States to address issues of peace and security.

Although economic growth has been uneven, many countries in the region are experiencing GDP increases of over 4 percent a year, markets have been opened, tariffs reduced and efforts at regional integration are leading to increased intra-African trade expanded exports.<sup>2</sup> In October 2000 the 20 COMESA Member States launched the COMESA Free Trade Area, the fourth largest in the world with a population of 385 million. In March 2001 COMESA inaugurated the new seat of its Court of Justice, ensuring judicial safeguards and uniformity of application of laws within the Common Market area. These efforts were directly supported by REDSO, as was the Global Trade Network, linking U.S. and African businesses, which helped the successful launch of the African Growth and Opportunity Act.

### **The U.S. National Interest and Links to the MPP:**

Based in Nairobi, Kenya, REDSO/ESA fully supports the new Administration's three national security priorities in Africa: fostering free and fair trade, addressing the HIV/AIDS pandemic and building regional stability. REDSO's new regional program, emphasizing the 3 strategic objectives of enhancing African capacity to: (1) achieve food security, (2) manage conflict and (3) improve health systems (with an emphasis on combating HIV/AIDS) is entirely consonant

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<sup>1</sup> FAO Report April 2001

<sup>2</sup> World Bank Annual Report 2000

with these priorities. It also directly supports the U.S. Mission to Kenya's 2001-2003 Mission Performance Plan (MPP), specifically contributing to the following MPP Goals: (A) Reduced conflict and increased stability in Sudan, Somalia, the Great Lakes and along Kenya's borders; (B) Reduced prevalence and transmission of HIV/AIDS with improved public health and lower fertility rates; (C) Reduced human costs of armed conflict and natural disaster in the Greater Horn of Africa and incentives for the transition of marginal communities from relief to development and (D) Open Kenyan markets for increased U.S. exports and investment with higher levels of regional trade and economic integration.

### **Progress in Implementing the Approved Strategic Plan: Significant Achievements**

This report reflects a transition to REDSO's new 2001-2005 strategy. Performance under this R4 will be discussed under our old strategy while overall prospects for progress and results will be emphasized under the new strategy. The pipeline in the old strategy will be spent over the course of the next 12 months.

REDSO fulfills three roles in the region. First, it provides technical and implementation support, to 23 USAID missions. Second, it implements a regional development program, all emerged from REDSO's experience in providing technical services as well as implementing the Greater Horn of Africa Initiative (GHAI). REDSO's third role is to manage programs in Sudan, Somalia and Burundi, countries where USAID has no in-country mission ("non-presence countries").

REDSO's first SO, providing technical, legal, financial and procurement support services to USAID missions, performed well last year. REDSO exceeded its targets for meeting client mission service demands. After USAID/Egypt, REDSO/ESA carried out the largest number of procurement (340 valued at \$366 million) and accounting (over 43,000 transactions and a total program portfolio of \$650 million) among USAID overseas posts, among USAID overseas posts.

REDSO has also become a center of excellence not only for training in the region but for the Agency. REDSO developed, led or co-sponsored 12 regional and international courses and workshops last year. These included workshops on: Performance Management (training critical to Managing for Results); Disarmament, Demobilization, and Reintegration of Ex-Combatants; Voucher Examination; Regulation 216 and the Conducting of Initial Environmental Examinations; Ethics and Ethical Decision-Making and, State-of-the-Art (SOTA) knowledge and practices in the PHN sector. Several courses are now being adopted Agency-wide.

Increased utilization of critical information to decision-makers in the ESA region is another program objective. REDSO's Population Health and Nutrition (PHN) team concentrated on expanding partnerships across sectors and promoting African technical capacity to disseminate and apply lessons, tools and approaches to improve health programs. The PHN team also promoted regional-level policy dialogue to address priorities in HIV/AIDS, reproductive and maternal and child health and nutrition, infectious disease, and health care financing/health sector reform.

The establishment of a strong basis for implementation of the Greater Horn of Africa Initiative (GHAI) emphasizes increased African capacity to prevent and mitigate conflict and to improve

food security. REDSO promoted activities to increase access to effective tools for anticipating, regulating and channeling conflict that threatens to become violent. REDSO's conflict team also identified approaches for information generation, dialogue and reconciliation among a broad range of stakeholders, including groups willing to resort to violence. REDSO supported several successful peace-building initiatives in Sudan, Northern Uganda, Northeast Kenya, and Somaliland. In food security, REDSO support to the Association for Strengthening Agricultural Research in East and Central Africa (ASARECA) has led to the development and regional dissemination of mosaic resistant cassava, a critical food crop, resulting in yield increases of 150 – 200 percent. Further, ASARECA eased the movement of seeds and germplasm within the East African Community, cutting the time farmers access new technologies from three years to one.

### **Factors Influencing Progress**

The operating environment in the Greater Horn and Great Lakes region, characterized by volatility and complex emergencies, requires that REDSO build a great degree of flexibility into its programming and budgeting processes and its assistance mechanisms. In FY 2000-2001 rebel activities in Burundi, continued instability in Southern Somalia and Sudan, hostilities between Eritrea and Ethiopia and continued tensions between Eritrea and Djibouti (the seat of IGAD) have disrupted travel and hindered systematic planning. Similarly, given the aforementioned looming food crisis in the ESA region resulting from conflict, drought and flooding, REDSO Food for Peace and NGO implementing partners must devote significant efforts to meeting humanitarian and food aid needs. Sub-regional conflict has also compromised the ability of two principal regional partners, IGAD and COMESA, to carry out their regional mandates to promote regional economic development and integration.

HIV/AIDS has become the leading cause of death in Africa. This scourge impacts national productivity to a level comparable to the effects seen in Europe after World War 1. Beyond the increasing threat to public health, the U.S. considers HIV/AIDS a threat to U.S. national interests due both to the economic disruption and further impoverishment caused by the disease and resulting pressures leading to conflict.

Similarly, as program, staff and operating expense resources continue to decline, REDSO's ability to support the U.S. National Interest accordingly decreases.

### **Overall Prospects**

Though problems are severe, there have been substantive successes, particularly in countries that have enacted appropriate policies. African leaders are increasingly engaged in peace processes, regional forums, and new regional treaties. Regionally oriented organizations, both inter- and non-governmental have emerged or been strengthened. National leaders increasingly accept the importance of regional economic and political integration, critical for success in the global economy. "A regional approach is vital, not only to encourage trade flows between African countries themselves, but also, and perhaps more importantly, to provide a wider platform to encourage investment. Infrastructure, information and communications technology, and financial services play an important role in this process." (World Bank 2000). Regional sharing of information, critical to solve health, conflict, and food security challenges, has begun. Rapid

global advances in the information and communications technologies have opened windows of opportunity for accelerated social and economic development. With the launching this past year of a major free trade area, a number of regional organizations are focused on the task of building a regional economic and eventually political community.

While the ESA sub-region is in many ways at a crossroads, with the potential for either increased security or further insecurity, timely REDSO/USAID regional interventions could make an all-important difference in which way the scales ultimately tip.

## SO Text for SO: 623-001 Effective program and technical support to ESA Missions

Country/Organization: USAID REDSO/ESA

Objective ID: 623-001

Objective Name: Effective program and technical support to ESA Missions

Self Assessment:

Primary Links to Agency Strategic Framework:

0% 1.1 Critical private markets expanded and strengthened  
36% 1.2 More rapid and enhanced agricultural development and food security encouraged  
0% 1.3 Access to economic opportunity for the rural and urban poor expanded and made more equitable  
0% 2.1 Rule of law and respect for human rights of women as well as men strengthened  
0% 2.2 Credible and competitive political processes encouraged  
16% 2.3 The development of politically active civil society promoted  
0% 2.4 More transparent and accountable government institutions encouraged  
0% 3.1 Access to quality basic education for under-served populations, especially for girls and women, expanded  
0% 3.2 The contribution of host-country institutions of higher education to sustainable development increased  
0% 4.1 Unintended and mistimed pregnancies reduced  
16% 4.2 Infant and child health and nutrition improved and infant and child mortality reduced  
0% 4.3 Deaths, nutrition insecurity, and adverse health outcomes to women as a result of pregnancy and childbirth reduced  
16% 4.4 HIV transmission and the impact of the HIV/AIDS pandemic in developing countries reduced  
0% 4.5 The threat of infectious diseases of major public health importance reduced  
0% 5.1 Threat of global climate change reduced  
0% 5.2 Biological diversity conserved  
0% 5.3 Sustainable urbanization including pollution management promoted  
0% 5.4 Use of environmentally sound energy services increased  
16% 5.5 Sustainable management of natural resources increased  
0% 6.1 Urgent needs in times of crisis met  
0% 6.2 Personal security and basic institutions to meet critical intermediate needs and protect human rights re-established

Link to U.S. National Interests: Economic Prosperity

Primary Link to MPP Goals: Economic Development

Secondary Link to MPP Goals (optional): Regional Stability

### Summary of the SO:

This strategic support objective (SSO) is one of REDSO/ESA's principal mandates and continues to achieve results through the provision of effective program and technical services for USAID bilateral missions in East and Southern Africa (ESA). Over one-third of the services REDSO/ESA provides is OE-funded (primarily financial, procurement and legal). These OE-funded services significantly subsidize the OE of client missions. In the future, program funded

technical services will be aligned with each of the three new REDSO/ESA strategic objectives in enhancing food security, conflict management and health systems. This reflects that the development activities funded under these new objectives are advanced by provision of technical services. They inform the implementation of REDSO/ESA programs and ensure close synergies with complementary bilateral mission programs.

Since 1973, REDSO/ESA has been a service-oriented organization staffed by experienced USAID officers and technical experts, providing support to client USAID bilateral ESA missions in a variety of sectors and disciplines. Direct beneficiaries of this SSO include 23 USAID programs in the following countries: Angola, Botswana, Burundi, Comoros, Democratic Republic of Congo, Djibouti, Eritrea, Ethiopia, Kenya, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Rwanda, Seychelles, Somalia, South Africa, southern Sudan, Tanzania, Uganda, Zambia and Zimbabwe. Because of significant downsizing in most USAID missions, coupled with Africa-wide personnel shortages in critical backstops, REDSO/ESA's technical team has provided a critical, cost-effective means to meeting the changing needs of client USAIDs, assisting each mission to achieve its strategic objectives and results. Nevertheless, REDSO/ESA too has been downsized, leading to a decision to limit technical services to those areas demanded by multiple missions and complementary to the regional program. For example, programs needing expertise on primary education now must go elsewhere.

Key to REDSO/ESA staff's effectiveness is the synergy stemming from their knowledge of problems in the region and of lessons learned which are applied and disseminated from one USAID program to another. This REDSO/ESA combination of providing services regionally and implementing a regional program is unique in the Agency. It is a model that acts as a multiplier of resources and could be evaluated for use in other regions. REDSO/ESA provides technical services in various areas: Conflict Prevention, Mitigation and Response (CPMR), agriculture and food security, democracy/governance, child survival, economic growth, environment and natural resources management, population/health/nutrition and HIV/AIDS. Services are also rendered in crosscutting areas such as gender issues, monitoring, evaluation, and impact assessment. REDSO/ESA's core support services in procurement, financial management, food for peace and legal advice are instrumental to implementing client USAID programs, achieving impact and results, and reducing vulnerabilities in the ESA region. Other beneficiaries of REDSO/ESA services include host country governments, inter-governmental organizations, donors, and African partner institutions at both national and regional levels.

### **Key Results:**

Achievement of this SSO is measured by the extent that client mission service demands met (technical, financial, legal, procurement) and client missions rating of REDSO/ESA services as useful to their ability to achieve their SOs. REDSO/ESA exceeded the target for meeting client demands for services, achieving a 93% performance level, well above the target level. Despite a limited staff covering over 23 countries in Africa, REDSO/ESA also managed the highest number of procurement and accounting actions worldwide among all overseas posts. Further, REDSO/ESA has become a key training center for USAID, leading or sponsoring 12 separate courses and designing two courses (performance monitoring planning and voucher examination) that have now been adopted Agency-wide.

### **Performance and Prospects:**

Overall performance exceeded targets. In August 2000, REDSO/ESA's new five-year strategy was completed and approved. It builds on lessons learned from the Greater Horn of Africa Initiative (GHAI). REDSO/ESA's challenge is to balance staff time between providing services to client USAID missions, implementing REDSO/ESA's regional program and managing programs in non-presence countries.

In FY 2000, while still favorable, client missions rated REDSO/ESA services lower than the previous two years. This is an indication that REDSO/ESA's staff shortages, decision not to provide all types of technical services demanded, and implementation of a sizeable regional program are having an affect on REDSO/ESA's ability to provide a full range of services. Just over 80% of client missions found REDSO/ESA useful to their ability to achieve their strategic objectives, down from 98% from several years ago. Importantly, USAID missions' overall satisfaction with REDSO/ESA services changed noticeably (on a 1 to 5 scale, the average was 3.1, down from 3.75). REDSO/ESA's quantitative measure for management of services is, "service days performed as a percentage of service days planned." The result was a 93% (FY 2000) performance level (3,113 days performed vs. 3,345 days planned), exceeding the target of 80%.

Specific examples of REDSO/ESA performance include:

- Procurement - In addition to the REDSO/ESA regional program, this office covers 9 other USAID country programs. In FY 2000, 340 procurement actions were completed, obligating \$88.6 million in contracts and grants valued at \$366.2 million. This USAID procurement portfolio is the largest and busiest in the Africa Region and entails the highest number of actions among overseas posts worldwide. In addition to meeting this heavy contracting workload, the office also is designing region-wide procurement mechanisms to complement REDSO/ESA's programmatic strategy, such as contracts for regional training, financial services and information communication technology, as well as an umbrella agreement for the Leahy War Victims Fund in Africa.
- Regional Financial Management Center (RFMC) - This regional controller office serves as the official accounting station for 15 USAID client missions and accounting units. RFMC is the second largest field accounting station in the Agency and has the highest number of reporting units. The accounting section is the largest and busiest in the Africa region and processes the highest number of actions of any overseas post in the Agency. Resident REDSO/ESA staff services that are dedicated full-time to USAID missions are over and above the total "service days performed" (3,113 days). Additionally, 90 days of essential accounting services were provided by RFMC to USAID Washington; 7,345 vouchers were certified for payment and over 43,000 transactions were recorded. RFMC manages \$23.4 million of current year operating expenses and \$158.9 million of new funding for the region. Total operating expenses managed are more than \$50 million and the program pipeline managed exceeds \$650 million. RFMC also provides training not only to client missions, but also to USAID worldwide (voucher examination, financial analysis and accounting).
- Regional Legal Office - In addition to REDSO/ESA, the legal office fulfills the legal needs of 10 other USAID programs. Overseas, only the USAID/Cairo legal office has the number of U.S. direct hire lawyers as REDSO/ESA. However, because the REDSO/ESA legal office handles 11 different programs, each with its own legal framework and issues, the complexity of the



REDSO/ESA's legal responsibilities is greater. Indeed, residual legal matters from the August 1998 Nairobi Embassy bombing are still being addressed by this office.

Increasingly, REDSO/ESA is becoming a Center of Training Excellence. Because of its regional perspective and the networking of its traveling serviceprovider staff, REDSO/ESA is well-positioned to identify critical training needs that are common to many bilateral missions, and in some instances that are critically important for the Agency worldwide. Two courses were developed by REDSO/ESA which are being adopted Agency-wide (performance monitoring planning and voucher examination). In all, 12 courses were led or sponsored by REDSO/ESA for over 350 participants representing multiple country programs in Africa and beyond. These courses included: Automated Directives System, performance monitoring, financial management, linking relief & development and environmental assessment. In many cases, the training impact was magnified by using training of trainers methodologies so the original training participants subsequently train several others in their countries, thus multiplying REDSO/ESA's knowledge base. Future courses to address the USAID's critical training lapses are on the drawing board.

Recruiting difficulties stemming from continuing security problems in Kenya and the Greater Horn region meant that meeting client mission services requirements remained a challenge last year. REDSO/ESA, however, has had success in bringing staff numbers nearer to full complement. This should help the mission to meet service targets in FY 2001 and 2002. However, lower U.S. direct hire staff numbers and turnover in the important information technology sector, mean that fulfilling service demands will continue to be challenging. Given the number of different country programs REDSO/ESA supports, the breadth and variety of tasks managed provide excellent experience-building opportunities for new Agency staff. While REDSO/ESA is pleased to provide this training ground, it means that some positions are filled by less inexperienced officers, and senior staff has the added demand of mentoring as they strive to fulfill an already extremely heavy workload.

#### **Possible Adjustments to Plans:**

To better align program resources and improve the reporting linkages to the REDSO/ESA regional program in the future, program funded services will come under the three new REDSO/ESA SOs in enhancing food security, conflict management and health systems. Nevertheless, REDSO/ESA will continue to track and report on the quality and usefulness of the services provided as assessed by client missions and Washington offices. While working with client USAID missions in the region, greater emphasis also will be made by REDSO/ESA service providers to identify opportunities to complement and link the REDSO/ESA regional program with those of these bilateral USAID missions.

#### **Other Donor Programs:**

USAID staff regularly work with governmental and donor agencies at the bilateral and regional level to ensure effective donor coordination and programming of scarce development resources.

#### **Major Contractors and Grantees:**

In addition to a cadre of Foreign Service Officers and Personal Services Contractors, a variety of fellows and institutional contractors implement this SO. These in-house skills have been

supplemented with local short-term contracts in specific fields. Contractors and agencies include the American Association for the Advancement of Science (AAAS), University of Missouri, the Center for Development and Population Activities (CEDPA), Johns Hopkins University, U.S. Department of Agriculture and the Army Corps of Engineers.

**Performance Data Table**  
**Fiscal Year: FY2003**

Objective Name: Effective Program and Technical Support to ESA Missions

Objective ID: 623-001

Approved: 6/95

Country/Organization: USAID REDSO/ESA

Result Name: IR 1.1 Improved management of REDSO/ESA services to ESA Missions

Indicator: Percent of REDSO/ESA planned service days and tasks achieved

Disaggregated By:

Unit of Measure: Percentage

Year	Planned	Actual
1996	70	64
1997	70	96
1998	80	86
1999	80	85
2000	80	93
2001	85	-

Source:

TDY Reports (STARS data)

Indicator/Description:

Number of actual service days provided by REDSO/ESA staff as a percent of the total agreed with Missions in the ESA region.

Comments:

In FY 00 REDSO provided the following service days:

No. of service days Agreed: 3345

No. of service days Actually provided: 3113

The security situation in the GHA region continued to be quite tense in FY 00. Despite this, REDSO/ESA's dedicated staff still managed to significantly surpass its planned FY 00 target.

## **SO Text for SO: 623-002 Increased utilization of critical information by USAID and other decision-makers in the region**

Country/Organization: USAID REDSO/ESA

Objective ID: 623-002

Objective Name: Increased utilization of critical information by USAID and other decision-makers in the region

Self Assessment:

Primary Links to Agency Strategic Framework:

25% 1.1 Critical private markets expanded and strengthened  
50% 1.2 More rapid and enhanced agricultural development and food security encouraged  
0% 1.3 Access to economic opportunity for the rural and urban poor expanded and made more equitable  
0% 2.1 Rule of law and respect for human rights of women as well as men strengthened  
0% 2.2 Credible and competitive political processes encouraged  
0% 2.3 The development of politically active civil society promoted  
0% 2.4 More transparent and accountable government institutions encouraged  
0% 3.1 Access to quality basic education for under-served populations, especially for girls and women, expanded  
0% 3.2 The contribution of host-country institutions of higher education to sustainable development increased  
0% 4.1 Unintended and mistimed pregnancies reduced  
0% 4.2 Infant and child health and nutrition improved and infant and child mortality reduced  
0% 4.3 Deaths, nutrition insecurity, and adverse health outcomes to women as a result of pregnancy and childbirth reduced  
0% 4.4 HIV transmission and the impact of the HIV/AIDS pandemic in developing countries reduced  
0% 4.5 The threat of infectious diseases of major public health importance reduced  
0% 5.1 Threat of global climate change reduced  
5% 5.2 Biological diversity conserved  
0% 5.3 Sustainable urbanization including pollution management promoted  
0% 5.4 Use of environmentally sound energy services increased  
20% 5.5 Sustainable management of natural resources increased  
0% 6.1 Urgent needs in times of crisis met  
0% 6.2 Personal security and basic institutions to meet critical intermediate needs and protect human rights re-established

Link to U.S. National Interests: Humanitarian Response

Primary Link to MPP Goals: Economic Development

Secondary Link to MPP Goals (optional): Economic Development

### **Summary of the SO:**

This Strategic Objective (SO) supports the Agency's strategic goals through increased availability and use of critical information on development issues having regional and global significance. REDSO/ESA is fostering greater collaboration among partners in the region and contributing to effective problem solving by decision-makers through the replication of proven

models, practices and development solutions. Beneficiaries include governments, institutions and regional organizations, with benefits ultimately accruing to persons throughout the region.

Child survival funds support the regional dissemination of better practices to improve the quality of programs: immunization, infectious disease, maternal and child health, and nutrition. DA funds support regional networking and strengthening of institutions involved in family planning, reproductive health, HIV/AIDS, agriculture, economic growth and trade integration.

This is the last reporting period for this SO which has exceeded expectations for increasing the use of critical information by USAID and other decision-makers in the region. Policy makers have better access to information on which to make decisions, service providers have more knowledge to impart to their clients and clients, such as farmers and health care users have been able to make tangible changes in the quality of their lives.

### **Key Results:**

USAID is accomplishing results through a successful portfolio of transnational activities in agriculture, population, health and nutrition, economic growth, environment and natural resources management. These activities support principles of the Greater Horn of Africa Initiative (GHAI). All involve African partners who have participated in defining this objective's activities and all utilize African technical experts who cooperate on regional issues. Intermediate results in selected Agency goal areas targeted by this SO include: (1) Improved availability of regional information in priority development areas; (2) Improved models, approaches and technologies for use in priority development areas; (3) Enhanced dissemination of critical regional development information; (4) Increased regional collaboration to address critical regional development issues; and, (5) Strengthened human and institutional capacity to generate, analyze and use critical regional development information.

### **Performance and Prospects:**

REDSO/ESA initiated 34 population, health and nutrition (PHN) databases that directly supported the expanded availability of information on key regional health issues, exceeding the expected target of 32 (IR 2.1 Improved Availability of Regional Information in Priority Development Areas). For example, the Regional Center for Quality of Care used its database to disseminate information on HIV/AIDS care and nutrition, essential maternal and child nutrition approaches and reproductive health to over 1,000 members. A review of community-based health insurance schemes identified lessons learned that will be disseminated and applied throughout the region by members of a regional network for community-based health funds, insurance and managed care providers.

The number of regional stakeholders collaborating to address critical regional PHN issues increased from 1,434 in 1999 to 1,556 in 2000, exceeding the planned target of 1,500, and produced tangible cross-regional collaboration (I.R. 2.4 Increased Regional Collaboration to Address Critical Regional Development Issues). For example, REDSO/ESA- supported representatives of national AIDS control programs, nursing schools, and nutritionists who attended a regional meeting "Responding to the HIV/AIDS Disaster in East, Central and Southern Africa and the first Health and Finance Ministers' meeting on "Mobilizing Resources

for HIV/AIDS”. These meetings have resulted in partnerships being initiated to improve regional and national collaboration in addressing HIV/AIDS.

REDSO/ESA activities strengthened human and organizational capacity to generate, analyze and use critical regional development information in 76 PHN organizations, exceeding the planned target of 52 (I.R. 2.5 Strengthened Human and Organizational Capacity to Generate, Analyze and Use Critical Development Information). Regional capabilities were strengthened in areas such as health sector financing, health sector reform, logistics management for commodities and drugs, reproductive health and nutrition. For example, after 45 participants from Kenya, Tanzania and Uganda were trained in the use of the PROFILES computerized model, three national PROFILES advocacy presentations were developed, four presentations were developed for cross-sectoral advocacy in education and agriculture, 12 advocacy activities undertaken, and three national nutrition coalitions were established. Coalitions also received training in the use of quality assurance tools to strengthen nutrition activities. In another example of regional capacity development, Ugandan, Kenyan and Mozambican participants from the nutrition essentials course reviewed better practices from Madagascar and developed plans for application of these practices in their countries. NGOs from seven countries who were trained in leadership and advocacy developed and implemented advocacy action plans to support national health priorities and promote a regional advocacy agenda.

Responding to user demand is beginning to bear fruit for the networks and projects associated with the Association for Strengthening Agricultural Research in East and Central Africa (ASARECA). A success story from one country illustrates the types of impact that is occurring within the region. The Uganda National Seed Potato Producers Association (UNSPPA) was created in 1997 with 10 members with the assistance of the potato network and now has 25 seed growers (nine women). The UNSPPA is able to make a profit in the range of \$800-900 per grower in a good year (compared to an annual per capita income of less than \$200 in the region) from the sale of seed potatoes to other farmers. Profits are being used to purchase other improved inputs, livestock and to pay for school fees. The improved “clean” seed potatoes produce yields up to three times higher than previously were possible. In addition there are over 100 other community groups now producing their own improved seed in collaboration with the national potato program supported by Africare.

Two of ASARECA’s networks produced significant results by easing the movement of seeds and germplasm within the East African Community (EAC—comprising Kenya, Tanzania and Uganda) and elsewhere in the region. A regional working group has been established that is coordinating the standardization of regulations and procedures nationally and regionally and is coordinating closely on the latter with the EAC. Furthermore, agreement was reached to decrease from three years to one year the mandatory testing requirement of new varieties before they are released onto the market. This approach will make a big difference in the speed at which farmers can access new technologies. Although cassava is often looked upon as a “poor man’s crop of last resort”, it is a major food security crop in the region and has great industrial potential. In the early 1990s, production in the EAC and Great Lakes Region was decimated with yield losses up to 90% as a result of the cassava mosaic virus. Disease resistant varieties were developed but the regulations required new germplasm to be introduced only via tissue culture and extensive screening. This method was both costly and inefficient. The cassava

network successfully worked with plant quarantine officials in the EAC countries to introduce a “fast-track” and open quarantine facility whereby germplasm is released through clones thereby reducing the release time by three years. Furthermore, preliminary farmer field trials show yield increases of 150-200%. The approved approach is being reviewed with great interest now by western and southern African partners.

REDSO/ESA activities in the area of “enhanced dissemination of critical regional development information (I.R. 2.3) exceeded expectations considerably with 940 institutions and people receiving critical regional development information compared to a planned 600. The process of regional trade integration, a stated goal of three of the main inter-governmental organizations—EAC, Intergovernmental Authority on Development (IGAD) and the Common Market of East and Southern Africa (COMESA), was facilitated by REDSO/ESA sponsored policy analyses, opportunities for dialogue between national and regional decision-makers and outreach efforts to stakeholders particularly in the area of transportation, tariff and non-tariff barriers to agriculture and other trading policies.

The biggest success is the launch this past year of the Free Trade Area (FTA) by COMESA, the first regional integration grouping in Africa to reach this stage as part of the Organization of African Unity’s vision of an economically integrated Africa. The FTA was launched in October 2000 with 9 signatory countries and 11 other countries at various stages of progress toward moving to zero tariff status. The territory covered by COMESA extends from Egypt in the north to Namibia in the south and from Mauritius in the east to Angola in the west. It encompasses an area slightly larger than the United States with a population of over 350 million. REDSO/ESA’s modest but strategic assistance included financing economic analyses, policy workshops and technical assistance which helped member countries and Heads of State determine the impact of joining the FTA. This assistance coupled with broad institutional support for COMESA helps increase the effectiveness of an important inter-governmental organization in the region.

The Eastern Africa Sub-Regional Support Initiative for the Advancement of Women (EASSI) is a non-governmental organization dedicated to tracking the progress of member countries in meeting commitments made at the in Beijing Conference in 1995. REDSO/ESA’s institution building and program support resulted in EASSI being named by the United Nation’s Economic Commission for Africa as the official organization reporting on Eastern Africa’s progress on advancing the status of women at the June 2000 Beijing+5 meetings. EASSI lobbies both member states as well as inter-governmental organizations to improve the status of women in the region.

#### **Possible Adjustments to Plans:**

This is the final reporting period for this Strategic Objective since REDSO/ESA’s Strategic Plan FY 2001-2005 was approved in August 2000. Lessons learned from the implementation of this SO guided the design of the new SO5: Enhanced African Capacity to Achieve Regional Food Security that consolidates regional activities in trade, agriculture, economic growth, early warning, environment and natural resources management.

**Other Donor Programs:**

REDSO/ESA's activities are attracting support from the European Union, the African Development Bank, the World Bank, the International Monetary Fund, several UN agencies, Sweden, Canada, International Planned Parenthood Foundation, the International Development Research Center, and the Rockefeller Foundation.

**Major Contractors and Grantees:**

Bureau of the Census, Center for African Family Studies, COMESA, CRHCS, Family Health International, Family Planning Logistics Management Project, IGAD, IRG, Johns Hopkins University, Linkages Project, OAU/IBAR, Pathfinder International, Project for Health Reform, Quality Assurance Project, Rational Pharmaceutical Management Project, TechnoServe, Tellus Institute, University of Rhode Island, USDA.



## Performance Data Table

### Fiscal Year: FY2003

Objective Name: Increased Utilization of Critical Information by USAID and Other Decision-makers in the Region - Population, Health and Nutrition

Objective ID: 623-002

Approved: 6/95

Country/Organization: USAID REDSO/ESA

Result Name: IR 2.1 Improved Availability of Regional Information in Priority Development Areas

Indicator: Presence of appropriate data bases in priority development areas

Disaggregated By:

Unit of Measure: Number of Databases

Year	Planned	Actual
1994	0	0
1995	0	4
1996	4	6
1997	12	25
1998	*	27
1999	29	32
2000	32	34

Source:

Quarterly reports from implementing partners

Indicator/Description:

Databases include mailing lists, program inventories, assessments and situation analyses .

Comments:

During this period a broad range of activities that increased the availability of information on priority health issues generated discussion and support for health systems improvements in the region. 9 community-based nutrition programs in Kenya, Tanzania and Uganda were assessed for better practices; a number of practices identified for broader application are now being discussed more vigorously. A feasibility study to explore options for electronic networking for nutrition and food security has been completed and is being reviewed by a number of stakeholders. A study linking gender and nutrition was completed, and fact sheets on adolescent girls and young women in ESA were developed and disseminated. The Regional Logistics Initiative supported a country level logistics system assessment for Uganda to assist Uganda to better target future logistics management activities.

The RCQHC database has been used to regularly disseminate information on HIV/AIDS care and nutrition, essential maternal and child health approaches, and reproductive health to over

1,000 QOC network members. The CAFS consultant database is now operational and being used to identify consultants for specific activities.

A hospital autonomy assessment and implementation plan completed for Malawi resulted in MOH agreement to move ahead on organizational reforms and generated wider donor support to improve operational efficiency. 8 countries developed draft NHA estimates for comparative analysis purposes; plans are now being developed to set a framework to bring NHA to the policy dialogue arena through the CRHCS. A study of community-based health insurance assessed several schemes and identified lessons learned. Discussions exploring options for the application of lessons in the region are now underway, particularly to address issues of taking schemes to significant scale.

## Performance Data Table

### Fiscal Year: FY2003

Objective Name: Increased Utilization of Critical Information by USAID and Other Decision-makers in the Region - Population, Health and Nutrition

Objective ID: 623-002

Approved: 6/95

Country/Organization: USAID REDSO/ESA

Result Name: IR 2.4 Increased Regional Collaboration to Address Critical Regional Development Issues

Indicator: Number of stakeholders collaborating to address critical regional development issues  
Disaggregated By:

Unit of Measure: Number

Year	Planned	Actual
1994	12	14
1995	17	21
1996	35	56
1997	65	213
1998	*	1,084
1999	1,400	1,434
2000	1,500	1,556

Source:

TDYs, participating Missions, reports, meetings/workshop/study tour participants

Indicator/Description:

Number of Missions and other stakeholders who are collaborating in regional cross-border activities to address critical regional development issues.

Comments:

REDSO partners have played important roles in facilitating regional collaboration on key regional health issues. 244 persons from the region attended the Quality of Care State of The Art (SOTA) meeting in February, 2000; participants from throughout the region developed country level action plans aimed at applying technical innovations discussed at the meeting. 1,000 members of RCQHC quality of care network support ongoing efforts to enhance quality of care in the region .

A series of CRHCS meetings generated commitment to undertaking a regional approach to HIV/AIDS. 81 persons, including Ministers of Health and other health officials from 14 member states, attended the regional Commonwealth Regional Health Community Secretariat (CRHCS) annual Ministers of Health meeting in October, 1999; following this, 44 health officials attended the Directors' Joint Consultative Committee (DJCC) Meeting in March, 2000; and 70 Ministers of Health and Finance, their deputies and other officials from the region attended the Meeting of

Health and Finance Ministers in August, 2000. At the conclusion of this third meeting, agreement was reached to develop a regional strategy for HIV/AIDS.

117 participants attended a CAFS Conference on NGO Partnerships for Reproductive Health to assess the current and future role of NGOs in responding to the HIV/AIDS crisis and reproductive health needs in the region. During this meeting, CAFS was selected by participating NGOs to serve as a regional NGO umbrella coordinating body.

Regional networks established in community-based health funds, insurance and managed care providers, and national health accounts have begun planning to disseminate lessons learned and catalyze regional discussions on community-based health insurance schemes, resource planning and allocation, and other health care financing issues.

## Performance Data Table

### Fiscal Year: FY2003

Objective Name: Increased Utilization of Critical Information by USAID and Other Decision-makers in the Region - Economic Growth

Objective ID: 623-002

Approved: 6/95

Country/Organization: USAID REDSO/ESA

Result Name: IR 2.3 Enhanced Dissemination of Critical Regional Development Information -- Regional Trade Analytical Activity (RTAA); Regional Investor Roadmap; World Trade Organization (WTO) activities; Eastern and Southern Africa Business Organization (ESABO).

Indicator: Number of persons and institutions receiving critical regional development information.

Disaggregated By:

Unit of Measure: Number of persons and institutions receiving critical regional development information.

Year	Planned	Actual
1993	NA	0
1994	50	80
1995	100	225
1996	350	577
1997	650	1166
1998	875	965
1999	459	1466
2000	600	940

Source:

Quarterly reports and records from program implementors include: RTAA-Publications and workshop reports; regional meetings and dialogue, Investor Roadmaps; WTO; ESABO reports.

Indicator/Description:

Number of persons/institutions attending workshops, meetings and receiving publications.

Comments:

The exceeded expectations in numbers from the planned 600 to the actual of 940 was as a result of:

1. Increased face to face consultations with our major partners stemming from the launch of the COMESA Free Trade area and from the a signing of Memorandum of Understanding between IGAD, Private/public Sector Stakeholders and REDSO's RTAA executing agency Technoserve Inc. This speeded up the process of regional trade integration through transportation Policy harmonization dialogue and Change, Policy Briefs and analyses for regional institutions and decision makers .

2. Increased awareness by our partners of the importance of joint strategy meetings between the major sub-regional intergovernmental institutions to share their common agenda and work together were necessary.

3. Increased demand for analyses for use by decision makers of regional institutions ( IGAD, EAC, COMESA, TTCA, EATI, and private Sector Institutions) who participated in the events leading to the Launch of EAC and COMESA FTA. In addition, there was continued increased involvement by African experts of the program to share information on the specifics of opening of borders, reform and liberalization progress in the ESA region.

4. Partner driven short studies continued to show the importance of informal trade between neighboring countries in the sub-region, which can be enhanced by a change of specific tariff and Non-tariff agriculture and trading policies. Partners were more keen on information and effective in outreach and dissemination of information to interested stakeholders in a position to effect reforms.

The program would have been even more successful if we had not experienced difficulties in implementing due to the need for contractual changes in the IQC ARD-RAISE instrument, capacity shortcomings in partner programming, and the need to abort a major technical assistance contract in support of ESABO.

## Performance Data Table

### Fiscal Year: FY2003

Objective Name: Increased Utilization of Critical Information by USAID and Other Decision-makers in the Region - Population, Health and Nutrition

Objective ID: 623-002

Approved: 6/95

Country/Organization: USAID REDSO/ESA

Result Name: IR 2.5 Strengthened Human and Institutional Capacity to Generate, Analyze and Use Critical Regional Development Information

Indicator: Number of institutions with strengthened human and organizational capacity to generate, analyze and use critical regional development information

Disaggregated By:

Unit of Measure: Number

Year	Planned	Actual
1994	1	1
1995	5	12
1996	18	23
1997	30	42
1998	*	46
1999	50	198
2000	52	76

Source:

TDYs, participating Missions, reports

Indicator/Description:

Number of institutions with strengthened human and organizational capacity to generate, analyze and use critical regional development information.

Comments:

A variety of training and other institutional strengthening activities improved human and institutional capacity to utilize critical information to improve health systems in the region. 44 institutions in the region were represented by over 80 persons at four short courses on contraceptive commodity logistics management, performance improvement, innovative training, and essential nutrition interventions held through the RCQHC. 32 participants from 18 institutions from 7 CRHCS member states sent participants to a CAFS short course in advocacy aimed at building a core of trained advocates to promote CRHCS' advocacy agenda articulated in its 1999-2004 Strategic plan; participants developed advocacy plans for implementation in their own countries. 14 organizations sent participants to a consulting skills workshop conducted by CAFS to develop a resource pool of regional consultants to serve sub-Saharan Africa in the field of sexual and reproductive health. Regional networks formed to work on health care financing

issues produced national health accounts estimates for eight countries for comparative analysis purposes.



## **SO Text for SO: 623-003 Establish a strong basis for implementation of the Greater Horn of Africa Initiative (GHAI)**

Country/Organization: USAID REDSO/ESA

Objective ID: 623-003

Objective Name: Establish a strong basis for implementation of the Greater Horn of Africa Initiative (GHAI)

Self Assessment:

Primary Links to Agency Strategic Framework:

17% 1.1 Critical private markets expanded and strengthened  
17% 1.2 More rapid and enhanced agricultural development and food security encouraged  
17% 1.3 Access to economic opportunity for the rural and urban poor expanded and made more equitable  
0% 2.1 Rule of law and respect for human rights of women as well as men strengthened  
0% 2.2 Credible and competitive political processes encouraged  
16% 2.3 The development of politically active civil society promoted  
0% 2.4 More transparent and accountable government institutions encouraged  
0% 3.1 Access to quality basic education for under-served populations, especially for girls and women, expanded  
0% 3.2 The contribution of host-country institutions of higher education to sustainable development increased  
0% 4.1 Unintended and mistimed pregnancies reduced  
0% 4.2 Infant and child health and nutrition improved and infant and child mortality reduced  
0% 4.3 Deaths, nutrition insecurity, and adverse health outcomes to women as a result of pregnancy and childbirth reduced  
0% 4.4 HIV transmission and the impact of the HIV/AIDS pandemic in developing countries reduced  
0% 4.5 The threat of infectious diseases of major public health importance reduced  
0% 5.1 Threat of global climate change reduced  
0% 5.2 Biological diversity conserved  
0% 5.3 Sustainable urbanization including pollution management promoted  
0% 5.4 Use of environmentally sound energy services increased  
16% 5.5 Sustainable management of natural resources increased  
17% 6.1 Urgent needs in times of crisis met  
0% 6.2 Personal security and basic institutions to meet critical intermediate needs and protect human rights re-established

Link to U.S. National Interests: Economic Prosperity

Primary Link to MPP Goals: Economic Development

Secondary Link to MPP Goals (optional): Humanitarian Assistance

### **Summary of the SO:**

The Greater Horn of Africa Initiative (GHAI) was launched in 1994 in response to continuing political and humanitarian crises and instability in the ten-country Greater Horn of Africa (GHA) region. The goal of the GHAI is a food secure, just and peaceful region through the development and strengthening of African capacity to improve food security, to prevent, mitigate and resolve conflict, and to improve access to critical information. The purpose of this objective was to

establish within REDSO/ESA the management and programmatic elements needed to implement the GHAI. The direct beneficiaries of this objective were governments in the GHA, U.S. private voluntary organizations (PVOs) and African non-governmental organizations (NGOs). The benefits of the GHAI will ultimately accrue to populations at the grassroots level through activities that increase African capacity to improve food security, reduce conflict and share information.

**Key Results:**

Three key intermediate results have been achieved under this objective. 1) Under the Conflict Pilot Activities Fund (CPAF) pilot activities in conflict prevention and mitigation have been tested in several countries of the Greater Horn to establish best practices. A “tool kit” of best practices in the region is being prepared and distributed. 2) Regional information on food security and conflict is now accessible to African implementers and policy-makers and is being applied rapidly to events on the ground. 3) Through the Institutional Strengthening and Grant Management (ISGM) program, African NGOs working on food security and conflict prevention, mitigation and response are being given the training necessary to expand and strengthen their activities in the region.

**Performance and Prospects:**

This objective is on track and though this objective is ending this year, its goals, principles, and basic objectives have been fully integrated throughout REDSO/ESA’s new strategic objectives. The new objectives all capture USAID's plans--beyond the life of the GHAI--to further strengthen the capacity of African organizations in food security and conflict management.

Pilot activities in conflict prevention, mitigation and response: Diverse pilot activities were supported through three grant making mechanisms -- the ISGM mechanism with two NGOs (PACT and MWENGO) in collaboration with Inter-Governmental Authority on Development (IGAD) and the CPAF and CQUICK mechanisms in collaboration with the Common Market for East and Southern Africa (COMESA). Several of these pilot faith-based initiatives made important progress reconciling differences between conflicting parties. For example, the Acholi Religious Leader's Initiative addressed conflict in northern Uganda by using moral suasion to convince the government to move forward with the peace process. Conflict prevention and mitigation through natural resource management has proven to be an important conflict mitigation approach in the GHA region. Intermediate Technology Development Group and the Pastoralist Development Group (two other NGOs) are collaborating on two projects to help mitigate pastoralist conflict in northern Kenya that will include the development of annual action plans to ensure peace plans are upheld. Other initiatives have incorporated traditional practices at a local level, mobilized women and youth as agents of change, and harnessed the skills and resources of universities to share peace building information. The strength of these activities lies in the opportunity they provide to channel potentially violent conflict into constructive peace activities centered around civil dialogue. Stakeholders, through the platforms provided by reconciliation meetings and conferences, often have a unique chance to provide input into decision-making processes where they may have previously been marginalized.

Enhanced regional information: Building on past efforts to establish internet connectivity for key policy-makers in the GHA region, recent information efforts have focused on non-governmental

institutions as well as strengthening the ability of partners to use and disseminate information. For example, the Kenya Educational Network (KENET), an umbrella body of educational institutions, is building the capacity and ability of universities through internet connectivity, eventually leading to enhanced ability to teach, research and share information on democracy and conflict/peace activities, especially through university faculties. An Information Resource Center has been established in a girls' school in Rwanda. In addition to the benefits it provides to the students, during school holidays the center will be used for training women's groups in the use of information and communication technologies, with the goal of enhancing women's capacity to contribute to research related to genocide and conflict mitigation in Rwanda. On the food security front, the Drought Monitoring Center (DMC) in Nairobi has improved its ability to produce timely and accurate forecasts on droughts, floods, and other extreme climatic related events. Consequently, governments and donors have been able to plan and respond more quickly to food emergencies than had been the case in the past.

African organizations strengthened: USAID's existing partners continued to demonstrate evidence of strengthened capacity. For example, through USAID support to improve its strategic planning and financial management systems, the Association for Strengthening of Agricultural Research in East and Central Africa (ASARECA) has been certified to receive a 5-year, \$27 million grant from the European Union (EU). Similarly, improved overall organizational performance -- a result of USAID support -- has enabled the African Centre for Technology Studies (ACTS) and Western Indian Ocean Marine Sciences Association (WIOMSA) to leverage \$1.5 million and \$2 million, respectively, in funding from other donors. The Inter-governmental Authority for Development (IGAD) continues to demonstrate increased capacity, most noticeably illustrated by the launching of the Conflict Early Warning and Response mechanism (CEWARN). Similarly, the COMESA Secretariat has begun to implement a peace and security protocol to engage civil society, NGOs and governments to address conflict issues in the region. New partners are also receiving institutional strengthening support from USAID through the PACT/MWENGO Institutional Strengthening and Grantmaking (ISGM) Program. Eleven grants for more than \$2.2 million have been awarded. Seventy-five additional organizations have received technical assistance in organizational development through the ISGM. These organizations have received substantive assistance and training in financial management, strategic and organization planning, monitoring and evaluation, electronic communication system development, and conflict resolution skills.

#### **Possible Adjustments to Plans:**

This is the final reporting period for this strategic objective since REDSO/ESA's Strategic Plan FY 2001-2005 was approved in August 2000. Lessons learned from the implementation of this strategic objective guided the design of all REDSO/ESA's new strategic objectives and any future GHAI core funding (e.g., non-Somalia and non-Sudan funds) will be programmed within these three new objectives.

#### **Other Donor Programs:**

Other donors play a significant role in USAID's partnership with IGAD. The Joint IGAD Partners Forum -- composed of the European Union, Norway, Italy, Sweden, the Netherlands, Germany, Canada, in addition to IGAD and the US -- remains the primary forum through which

USAID interacts with IGAD. The German government and USAID have worked especially closely together in support of the CEWARN project.

**Major Contractors and Grantees:**

ACTS, ASARECA, COMESA, IGAD, MWENGO, PACT, and WIOMSA.

## Performance Data Table

### Fiscal Year: FY2003

Objective Name: Establish a strong basis for implementation of the Greater Horn of Africa Initiative (GHAI)

Objective ID: 623-003

Approved: 6/95

Country/Organization: USAID REDSO/ESA

Result Name: IR 3.1 Regional information on food security and conflict accessible to African implementors and policymakers

Indicator: Government Ministries connected to the internet

Disaggregated By:

Unit of Measure: Number of African Entities (Cumulative)

Year	Planned	Actual
1998	N/A	36
1999	72	72
2000	102	72
2001	132	NA
2002	162	NA

Source:

REDSO/ESA Activity Reports

Indicator/Description:

Self-explanatory

Comments:

Resource constraints did not permit REDSO to continue its investment in connecting GHA government ministries to the Internet. For the year in question, REDSO received an unexpected \$1.5 million cut to its GHAI allocation. Additionally, GHAI made a \$6 million contribution to the southern Sudan and Somalia development assistance programs, further restricting the funds available for increasing internet connectivity. REDSO adapted to these resources constraints and focused its information efforts elsewhere and achieved results in line with the GHAI Special Objective, improving access to regional analytical information. A further description of these efforts is provided in the SO3 narrative.

## Performance Data Table

### Fiscal Year: FY2003

Objective Name: Establish a strong basis for implementation of the Greater Horn of Africa Initiative (GHAI)

Objective ID: 623-003

Approved: 6/95

Country/Organization: USAID REDSO/ESA

Result Name: IR 3.3 Pilot activities in conflict mitigation tested to establish best practices

Indicator: Number of activities implemented with best practices identified

Disaggregated By:

Unit of Measure: Number of activities (cumulative)

Year	Planned	Actual
1998	NA	5
1999	8	15
2000	20	30
2001	25	NA
2002	30	NA

Source:

REDSO/ESA Activity Reports

Indicator/Description:

This indicator includes activities in progress. Initial best practices have been identified from activities that are completed or on-going. Beginning in FY00, these best practices began to be tested for their replicability or applicability in other contexts.

Comments:

The keen interest in the GHA region in the Conflict Quick Response Fund (CQUICK), Conflict Pilot Activities Fund (CPAF), and Institutional Strengthening and Grantmaking (ISGM) Program is the primary reason this indicator dramatically exceeded its target again this year--even after being revised upward in last year's R4.

The activities and subsequent best practices identified in this indicator fall into six broad categories:

Faith-based initiatives which have used moral suasion and the stature of religious leaders to make progress on reconciling conflicting parties

Resource-based conflicts abound in the GHA and conflict prevention and mitigation through natural resource management is promising

A number of initiatives have sought ways to introduce or rejuvenate traditional conflict resolution practices at the local level

Women and youth tend to be marginalized in conflict prevention and mitigation approaches but their mobilization has reaped benefits in the region

Other initiatives have harnessed the skills and resources of universities to share peace building information. Analytical efforts have also identified best practices

## Performance Data Table

### Fiscal Year: 2003

Objective Name: Establish a strong basis for implementation of the Greater Horn of Africa Initiative (GHAI)

Objective ID: 623-003

Approved: 6/95

Country/Organization: USAID REDSO/ESA

Result Name: IR 3.2 African organizations strengthened in the areas of food security and conflict management

Indicator: Number of strengthened African organizations working on food security and conflict management

Disaggregated By:

Unit of Measure: Number of African organizations (cumulative)

Year	Planned	Actual
1997	6	6
1998	N/A	9
1999	11	14
2000	18	25
2001	25	NA
2002	30	NA

Source:

REDSO/ESA Activity Reports

Indicator/Description:

Self-Explanatory

Comments:

The organizations included in the FY2000 total have demonstrated enhance capacity in some way. REDSO uses a broad definition of institutional capacity which captures external relations, service delivery, financial resource management, human resource management, strategic vision/planning, and governance issues.

The enhanced capacity of the organizations included in this table has been demonstrated in a variety of ways, inter alia: more prompt and accurate handling of financial transactions, the development of strategic plans or management policies, a significant increase in the quality or reach of service provision, improved networking with organizations of mutual interest, diversification of funding sources, and/or improved outreach/communication strategies.

Under REDSO's newly approved strategy (FY 2001-05), each SO will have an indicator similar to this one that measures institutional capacity. The SOs will use a common measure of institutional capacity.



## SO Text for SO: 623-005 -Enhanced African Capacity to Achieve Regional Food Security

Country/Organization: USAID REDSO/ESA

Objective ID: 623-005

Objective Name: Enhanced African Capacity to Achieve Regional Food Security

Self Assessment:

Primary Links to Agency Strategic Framework:

0% 1.1 Critical private markets expanded and strengthened  
0% 1.2 More rapid and enhanced agricultural development and food security encouraged  
0% 1.3 Access to economic opportunity for the rural and urban poor expanded and made more equitable  
0% 2.1 Rule of law and respect for human rights of women as well as men strengthened  
0% 2.2 Credible and competitive political processes encouraged  
0% 2.3 The development of politically active civil society promoted  
0% 2.4 More transparent and accountable government institutions encouraged  
0% 3.1 Access to quality basic education for under-served populations, especially for girls and women, expanded  
0% 3.2 The contribution of host-country institutions of higher education to sustainable development increased  
0% 4.1 Unintended and mistimed pregnancies reduced  
0% 4.2 Infant and child health and nutrition improved and infant and child mortality reduced  
0% 4.3 Deaths, nutrition insecurity, and adverse health outcomes to women as a result of pregnancy and childbirth reduced  
0% 4.4 HIV transmission and the impact of the HIV/AIDS pandemic in developing countries reduced  
0% 4.5 The threat of infectious diseases of major public health importance reduced  
0% 5.1 Threat of global climate change reduced  
0% 5.2 Biological diversity conserved  
0% 5.3 Sustainable urbanization including pollution management promoted  
0% 5.4 Use of environmentally sound energy services increased  
0% 5.5 Sustainable management of natural resources increased  
0% 6.1 Urgent needs in times of crisis met  
0% 6.2 Personal security and basic institutions to meet critical intermediate needs and protect human rights re-established

Link to U.S. National Interests:

Primary Link to MPP Goals:

Secondary Link to MPP Goals (optional):

### Summary of the SO:

The strategic objective is to improve the capacity of African regional institutions in Eastern and Southern Africa (ESA) to tackle the daunting food security challenges in this climatically unstable and conflict-prone part of the world. Although individual countries fare better or worse, depending on the year, chronic food insecurity plagues the ESA due to extreme climatic variability, low yielding and unsustainable production practices, inappropriate household nutritional practices, low purchasing power and difficulties moving food, seed, people and other

goods within the region. Poverty, war, civil strife, inappropriate national policies, environmental degradation, high population growth, high incidences of HIV/AIDS, and gender inequality further threaten the region's food security. While primary responsibility lies with individual countries (with help from bilateral USAID Missions) to develop their own economies, it is becoming increasingly clear that creating the enabling environment in which both national and regional food security can be improved requires a regional perspective. Tackling the root causes of food insecurity is clearly beyond USAID and REDSO/ESA's manageable interest. However, REDSO/ESA can play an important role enhancing regional African partner institutions' capacity. This will be accomplished by strengthening regional institutions technically and organizationally, providing the appropriate tools (i.e. technologies and better practices), enhancing coordination through increased networking, and creating the appropriate policy environment needed to fulfill partners' regional food security agendas. Improving environmental sustainability and gender equity will also be cross-cutting themes of this objective.

During FY 2001, Development Assistance (DA) will be used to fund activities (Economic Growth \$2,875,000; Agriculture \$3,347,000; and Environment \$1,401,000). These funds comprise both REDSO/ESA allocations and funds allocated under these same sectors to the Greater Horn of Africa Initiative (GHAI).

### **Key Results:**

In addition to its focus on improving partner capacity, the strategic objective has three thematic areas: improved livelihoods, increased trade in food security related commodities or services, and enhanced early warning systems so that humanitarian and development resources are more strategically allocated. Results are anticipated in four specific areas: regional organizations strengthened; improved regional availability of appropriate technologies and practices; increased networking and cooperation; and selected policy, regulatory and procedural changes for regional harmonization accepted.

### **Performance and Prospects:**

This is a new strategic objective that builds on REDSO/ESA's experience since 1994 with the GHAI and over the last decade in the areas of economic growth, agriculture, environment, natural resources management and early warning. Consultations with partners and the results of REDSO/ESA-supported analyses have identified the need for a coherent regional trade program that will support the efforts of the Intergovernmental Authority on Development (IGAD), the Common Market for Eastern and Southern Africa (COMESA), and the East African Community (EAC) in expanding regional trade and accelerating market integration. The trade program will provide the practical information needed for regional organizations to assist member states to undertake policy, procedural and regulatory reform. It will also facilitate the engagement of the private and non-governmental sectors to cooperate with governments and regional organizations to ensure that maximum economic growth occurs while appropriate safety nets are designed. Policies must be harmonized regionally to increase and stabilize trade flows, and to assure access to new technologies such as disease resistant or vitamin enriched varieties. The program will build on lessons learned during implementation of REDSO/ESA's earlier objectives, particularly regarding the regional trade analytical agenda and economic growth activities.

The emphasis on trade is intended to increase the volume of regional trade flows and efficiency of moving goods throughout the region. Two focus areas are being pursued: seeds and livestock. Less restrictive movement of seeds and new varieties will increase regional food production and overall market efficiency. More timely marketing of higher quality livestock will prevent massive losses that historically occur during droughts, and help protect the region's natural resources when they are most vulnerable. Improving regional trade opportunities as well as the early warning systems in vulnerable geographic areas can lead to a reduced need for costly humanitarian interventions.

REDSO/ESA's unique mandate as a regional mission provides an ideal opportunity to promote and coordinate the development and implementation of innovations that improve people's livelihoods at the household level. Working in collaboration with bilateral missions and other partners, common problems can often be addressed more efficiently on a regional scale. For instance, when there is coordination in the development and implementation of agricultural research in the region, when best practices in providing community veterinary services are widely shared and adopted, or when there is agreement among countries on how to manage a common resource such as Lake Victoria, then households benefit more quickly than in the absence of a regional approach.

This Activity will be guided by the five Greater Horn of Africa Initiative (GHAI) principles of African ownership, strategic coordination, linking relief and development, regional perspective and promoting stability. As the foundation for sustainability, the strategic objective will pay particular attention to improving the capacity of targeted regional organizations to accomplish their mandates. The Activity emphasizes the provision of tools, such as modern information and communication technologies that facilitate improved coordination and cooperation in tackling food security challenges in the ESA. Both conflict and HIV/AIDS will negatively impact on the this Activity's ability to achieve results, thus close collaboration is envisioned with REDSO/ESA's programs in those two areas to maximize impact.

Throughout the region, countries are developing policies and regulatory structures to prevent, avoid and mitigate actions that cause environmental harm. REDSO/ESA will assist an African-led process to promote environmental sustainability through the development and harmonization of environmental management and assessment policies. A primary approach will be to support professional capacity building to improve environmental review, planning and management, leading to implementation of environmentally sound activities by USAID Missions, African institutions, and other partners.

This Activity, or Strategic Objective (SO) is in the early phases of implementation as it transitions from the previous strategy. One accomplishment was a Partners Meeting held in March 2001 which brought together over 20 of REDSO/ESA's African partners for the first time. Partners from throughout the region validated the approach proposed, began networking across sectors, proposed potential indicators to share and identified the need for additional meetings to map out roles, responsibilities and comparative advantages.

**Possible Adjustments to Plans:**

Future funding levels for this Activity will determine whether the projected results as currently stated can be achieved.

**Other Donor Programs:**

European Union, African Development Bank, World Bank, several United Nations agencies, Sweden, Canada, DfiD, the International Development Research Center, and the Ford and Rockefeller Foundations.

**Major Contractors and Grantees:**

To achieve this strategic objective, REDSO/ESA works directly with African partners such as IGAD, COMESA, EAC, Association for Support to Agricultural Research in East and Central Africa (ASARECA), the African Centre for Technology Studies (ACTS), the Organization for African Unity's Intergovernmental Bureau for Animal Research (OAU/IBAR), and Eastern Africa Sub-Regional Support Initiative for the Advancement of Women (EASSI), among others. In addition, technical support and assistance with regional coordination are provided by organizations such as ARD, Technoserve, IITA, CIAT, CIP, IUCN, Tufts University, etc.

## SO Text for SO: 623-006 Enhanced Capacity for Managing Conflict in the Region

Country/Organization: USAID REDSO/ESA

Objective ID: 623-006

Objective Name: Enhanced Capacity for Managing Conflict in the Region

### Self Assessment:

#### Primary Links to Agency Strategic Framework:

- 0% 1.1 Critical private markets expanded and strengthened
- 0% 1.2 More rapid and enhanced agricultural development and food security encouraged
- 0% 1.3 Access to economic opportunity for the rural and urban poor expanded and made more equitable
- 0% 2.1 Rule of law and respect for human rights of women as well as men strengthened
- 0% 2.2 Credible and competitive political processes encouraged
- 0% 2.3 The development of politically active civil society promoted
- 0% 2.4 More transparent and accountable government institutions encouraged
- 0% 3.1 Access to quality basic education for under-served populations, especially for girls and women, expanded
- 0% 3.2 The contribution of host-country institutions of higher education to sustainable development increased
- 0% 4.1 Unintended and mistimed pregnancies reduced
- 0% 4.2 Infant and child health and nutrition improved and infant and child mortality reduced
- 0% 4.3 Deaths, nutrition insecurity, and adverse health outcomes to women as a result of pregnancy and childbirth reduced
- 0% 4.4 HIV transmission and the impact of the HIV/AIDS pandemic in developing countries reduced
- 0% 4.5 The threat of infectious diseases of major public health importance reduced
- 0% 5.1 Threat of global climate change reduced
- 0% 5.2 Biological diversity conserved
- 0% 5.3 Sustainable urbanization including pollution management promoted
- 0% 5.4 Use of environmentally sound energy services increased
- 0% 5.5 Sustainable management of natural resources increased
- 0% 6.1 Urgent needs in times of crisis met
- 0% 6.2 Personal security and basic institutions to meet critical intermediate needs and protect human rights re-established

Link to U.S. National Interests: Democracy

Primary Link to MPP Goals: Democracy and Human Rights

Secondary Link to MPP Goals (optional): Regional Stability

### Summary of the SO:

The focus of this strategic objective is three-fold: to identify and strengthen regional organizations that can help prevent, mitigate or reduce conflict; to increase and disseminate the supply of tools for conflict management; and to increase the reach and effectiveness of networks and mechanisms addressing conflict situations. Using this regional action-oriented approach, potentially violent conflict may be channeled into constructive peace-building activities. Violent conflict, defined as the use of arms to engage in conflict by forces other than the state, is widespread in the region. It negatively affects economic, political, and human development in

every country. Conflict Prevention, Mitigation, and Response (CPMR) requires concerted action from interstate, national government, civil society, and private sector agents, including across borders and between local communities. USAID works at all these levels with a range of partners to advance the field of CPMR. In a relatively short period, REDSO has helped to strengthen several organizations and to identify several tools. An increasing awareness of REDSO's Conflict Team achievements, and its knowledge and expertise, has generated increasing demands for assistance that the team is scrambling to meet. In FY 2000, all service demands were met and REDSO's CPMR activities produced solid results.

**Key Results:**

Three key intermediate results will help REDSO achieve this objective: 1) African conflict management organizations strengthened through leadership training and capacity-building; 2) Increased number of best practices identified and disseminated; and 3) increased communications among stakeholders in conflict situations, including the establishment regional networks and systems.

Given the relatively short period that CPMR has been a strategic focus for the Agency, REDSO's Conflict Team produced impressive results in FY 2000. A Conflict Early Warning and Response (CEWARN) mechanism for the Horn of Africa was designed. This product was a collaborative effort coordinated by the Political Section of the seven-member regional organization, the Inter-Governmental Authority on Development (IGAD), working closely with German aid (GTZ) and REDSO. The design was ratified by African leaders at the IGAD summit in November 2000. With REDSO assistance, the Common Market for East and Southern Africa (COMESA) incorporated conflict mediation among its tasks.

Also in FY 2000, REDSO completed a series of 10 case studies in six Greater Horn countries which identified several effective practices in CPMR. The focus of research included people-to-people and local level reconciliation processes drawing on traditional practices; the role of faith-based organizations in channeling conflict and promoting dialogue and peace; communications technologies, in particular, peace radio and internet connectivity; and local-level efforts to properly manage scarce natural resources and share their benefits

An important new area for USAID is developing the methodologies and skills for carrying out conflict analyses and vulnerability assessments. In FY 2000, Conflict Team members assisted USAID managers in Uganda, Somalia, Sudan, and Kenya in developing sound approaches to address CPMR issues for new country strategies.

Finally, the Conflict Team's tools: CQUICK (Conflict Quick Response Fund), CPAF (Conflict Pilot Activities Fund) and ISGM (REDSO's Institutional Strengthening and Grant Making program), became institutionalized and proved to be excellent mechanisms for implementing CPMR activities.

The reader should note that activities under this Strategic Objective were reflected in previous years under REDSO's former SO 3.

**Performance and Prospects:**

Performance under the strategic objective was good and exceeded REDSO's expectations, given the recent birth of CPMR as a assistance target and as fledgling discipline, and the relative paucity of resources devoted to CPMR activities.

REDSO utilized several different means for ensuring that local organizations committed to CPMR are able to access financial and management resources for innovative pilot activities, and for activities to strengthen the institutional capacity of the organizations themselves. In Rwanda, assistance helped create the Unity and Reconciliation Commission. In Uganda, support targeted violent conflict in the north of the country, promoting the role of improved communications, faith-based organizations and local leadership. In Sudan, support for people-to-people reconciliation helped reduce ethnic conflict between the Nuer and the Dinka peoples. In Somalia, bottom-up exercises helped define and develop local partnerships between communities and government and to rebuild relationships and a sense of purpose and direction in a war-torn society.

Support for several organizations in Kenya helped coalesce civil society organizations and CPMR approaches, such as the involvement of faith-based organizations at the national as well as regional level, and in pastoralist areas, and the employment of locally-adapted traditional processes to mediate and resolve conflict over resource access, use, and benefits.

In FY 2002 and out-years, REDSO's Conflict Team believe the prospects for successful employment of CPMR methods will increase with, concomitantly, a potential decrease in violent conflict in the region. The Team will continue to focus on strengthening the institutional capacity of African regional organizations, both intergovernmental and civil society; identifying and applying effective CPMR practices, including analytical approaches to CPMR programming within USAID bilateral programs, as well as across the region; and developing regional networks and systems. The Team expects that activity implementation will: 1) promote a concerted means for identifying and responding to the threat of violent conflict; 2) provide a platform for disseminating tested and effective CPMR practices; and 3) will engage CPMR organizations, other donors, and other stakeholders in CPMR issues in a constructive and sustainable way. Analyses of women as conflict managers and intermediaries, some already underway, will continue, and special consideration will be given to linking HIV/AIDS and CPMR analyses and programs.

Commitment of IGAD member-state leaders will be essential to continuing efforts and success with development of CEWARN, as is the commitment of COMESA member-state leaders to enhance the development of a peace and security protocol being undertaken with USAID support. Given IGAD and COMESA support to date, the Conflict Team is optimistic that this institutional commitment will be sustained, and expanded.

The CEWARN mechanism will be capable of providing conflict early warning and a concerted response. In light of the failure of organizations within and beyond the region to identify and adequately respond to violent conflict, such the genocide in Rwanda in 1994, CEWARN, when fully implemented, is expected to be welcomed as an important new technology by the countries of the Horn. A key aspect of this partnership will be the empowerment of regional non-governmental organizations (NGOs) to carry out functions of early warning and early response.

**Possible Adjustments to Plans:**

A resource shortage could force some modification on the Conflict Team's plans. This is regrettable because the Conflict Team's experience indicates that there is strong and growing interest in addressing CPMR issues within the region, and insufficient numbers of qualified organizations to respond to the challenge. There is also a lack of systematic identification, testing and dissemination of recognized approaches, practices, and tools that show promise in effectively addressing CPMR problems. Yet there is high demand for these among peace practitioners and stakeholders. Given these constraints and opportunities, the CEWARN, CQUICK and ISGM mechanisms will assume higher priority. COMESA will enjoy strong REDSO support. However, the Conflict Pilot Activity Fund (CPAF) will end due to shortage of funds. In addition, systematic work focused on analysing and disseminating CPMR best practices and testing conflict vulnerability analyses in the region will be unable to expand if there is increased demand.

**Other Donor Programs:**

European countries have demonstrated increased interest in CPMR. USAID has worked most closely with German aid – GTZ, the Friedrich Ebert Stiftung Foundation, Stiftung Wissenschaft und Politik, and the Conflict Prevention Network in Germany. The European Union supports IGAD. UNESCO, UNICEF, and UNDP are players. Other small funds with some political orientation with Nairobi offices include The Ford Foundation and the Rockefeller Foundation.

**Major Contractors and Grantees:**

Implementing partners include Management Systems International (MSI), Participating Agencies Cooperating Together (PACT), IGAD, COMESA, the Africa Peace Forum, the Forum for Early Warning and Early Response (FEWER), Saferworld, the University of York in Toronto, Ontario, the Life and Peace Institute, and USAID bilateral missions.



## SO Text for SO: 623-007 Enhanced Regional Capacity to Improve Health Systems

Country/Organization: USAID REDSO/ESA

Objective ID: 623-007

Objective Name: Enhanced Regional Capacity to Improve Health Systems

Self Assessment:

Primary Links to Agency Strategic Framework:

0% 1.1 Critical private markets expanded and strengthened  
0% 1.2 More rapid and enhanced agricultural development and food security encouraged  
0% 1.3 Access to economic opportunity for the rural and urban poor expanded and made more equitable  
0% 2.1 Rule of law and respect for human rights of women as well as men strengthened  
0% 2.2 Credible and competitive political processes encouraged  
0% 2.3 The development of politically active civil society promoted  
0% 2.4 More transparent and accountable government institutions encouraged  
0% 3.1 Access to quality basic education for under-served populations, especially for girls and women, expanded  
0% 3.2 The contribution of host-country institutions of higher education to sustainable development increased  
0% 4.1 Unintended and mistimed pregnancies reduced  
0% 4.2 Infant and child health and nutrition improved and infant and child mortality reduced  
0% 4.3 Deaths, nutrition insecurity, and adverse health outcomes to women as a result of pregnancy and childbirth reduced  
0% 4.4 HIV transmission and the impact of the HIV/AIDS pandemic in developing countries reduced  
0% 4.5 The threat of infectious diseases of major public health importance reduced  
0% 5.1 Threat of global climate change reduced  
0% 5.2 Biological diversity conserved  
0% 5.3 Sustainable urbanization including pollution management promoted  
0% 5.4 Use of environmentally sound energy services increased  
0% 5.5 Sustainable management of natural resources increased  
0% 6.1 Urgent needs in times of crisis met  
0% 6.2 Personal security and basic institutions to meet critical intermediate needs and protect human rights re-established

Link to U.S. National Interests:

Primary Link to MPP Goals:

Secondary Link to MPP Goals (optional):

(Page limitations for narrative begin here):

### Summary of the SO:

The purpose of this Strategic Objective (SO) is to support the attainment of Agency strategic goals and objectives through improving human and institutional capacity to improve health systems in the East and Southern Africa region. Enhanced capacity in the region is critical to ensure appropriate long-term response to health development issues. Moreover, given the transnational nature of health problems, particularly with infectious diseases such as HIV/AIDS,

tuberculosis and malaria, approaches and solutions should increasingly be cognizant of regional or multi-country realities – diseases do not respect national borders. Presently, though, there are limited numbers of African institutions with regional public health mandates and strategies in ESA. Those that do exist lack adequate human, financial and institutional resources and capacity to effectively address health issues. Additionally, cooperation and collaboration in program and resource planning between countries on public health issues remains limited and informal. Improving the technical and institutional capacity of African organizations and professionals to transfer information, skills and technologies regionally for strengthening health systems and to undertake policy advocacy and dialogue for sustaining improvements to these systems is a critical development need.

During FY 2001, Development Assistance (DA) and Child Survival and Diseases (CSD) money will be used to fund activities: (1) DA sector controls - Population \$1,025,000; (2) CSD earmark/sector controls - Child Survival (CHS) \$1,940,000; HIV/AIDS \$2,680,000 (to support HIV/AIDS regional activities which, if conditions allow, will include HIV/AIDS activities in Burundi); and Infectious Diseases (ID) \$894,000 (of which \$395,000 will be used for Malaria and \$499,000 for Tuberculosis). These funds include all of the Greater Horn of Africa (GHAI) Child Survival funds and a small portion of the Economic Growth funds allocated to the GHAI.

**Key Results:**

Four Intermediate Results are required to achieve this Activity: 1) improved viability of regional partner institutions; 2) broadened technical resource base; 3) expanded utilization of critical information; and 4) expanded policy dialogue.

**Performance and Prospects:**

REDSO/ESA's work builds on program efforts underway since 1995 and accordingly, accomplishing this Activity will involve continued assistance to African regional institutions and other regional partners in four key areas.

First, activities will aim to strengthen the institutional capacity and sustainability of regional partner institutions to expand African leadership in the sector. This will involve targeted human and institutional capacity development to establish and strengthen operational support systems and enhance skills in critical management areas such as planning, training and human resource development, health management information systems, logistics management, quality of health care improvement and assurance, supervision and monitoring, and sustainable financing strategies to reduce dependence on USAID as a primary donor. Strengthening partner institutional capacity in this manner should lead to better achievement by partners of planned results. Additionally, it should enable African partner institutions to play a more vital role in catalyzing partnerships and strategic coordination throughout the region. By the end of the strategy period, partners will be more mature regional organizations, with clearly defined mandates and organizational and management systems to support these mandates, and with financing strategies in place that will sustain regional activities.

Second, focus will be given to expanding the base of human, technical and program resources available to improve systems throughout the region. Achieving this end depends on the presence of a broad base of technical professionals and mechanisms that promote south to south networking and partnership approaches both within the health sector and across other sectors.

Activities will support the expanded development of networking and partnership mechanisms; the establishment of systems for institutionalizing training, human resource, and consultant development to meet ongoing needs for Africans equipped to improve health systems throughout the region; and the design of approaches to furthering cross-sector coordination to maximize program and technical resources and impact. By the end of the strategy period, there will be increased utilization of African specialists and organizations in health sector networking and technical assistance support activities throughout the ESA region.

Third, efforts will be made to increase the analysis, dissemination and application of information to enhance sector programs. Improving regional health systems on a long-term basis requires the ongoing dissemination and adaptation of state of the art technical knowledge and better practices by African institutions. Activities will thus support the development of regional capacity to keep technical knowledge current, to identify better practices from the region (including gender differentiated approaches), to share information on these practices throughout the region, and to adapt and implement these practices at the country level. Focus will be given to the utilization of modern information technologies where appropriate. By the end of the strategy period, networks in key technical areas will be operational, with network members regularly sharing information, exchanging lessons learned, and supporting the application of better practices in countries throughout the region.

Finally, this Activity seeks to enhance the policy environment by improving regional advocacy and dialogue on policy issues in key technical areas that include HIV/AIDS, maternal and child health and nutrition, reproductive health, infectious disease, and health care financing. Regional capacity to improve health systems requires a policy environment that not only enables the enhancement of health systems but also promotes and sustains these systems. Accordingly, efforts will focus on promoting policy dialogue among health sector leaders and other key decision-makers on critical regional health issues. Activities will emphasize strengthening regional capacity to develop a regional policy agenda, conduct policy analysis that informs policy development, and undertake advocacy activities to support policy reform and development. By the end of the strategy period, there will be increased regional coordination to foster policy change. Regional organizations will be working collaboratively to identify institutional, programmatic, legal and regulatory constraints to the achievement of health objectives throughout the region and to advocate for regional and country policy formulation to address these constraints.

Achieving results under this Activity will require close and continued collaboration with other REDSO/ESA teams, ESA missions, and USAID/Washington's offices and bureaus. Cross-cutting activities in nutrition and food security were initiated under the earlier strategy. Under this Activity, efforts will be made to strengthen and expand cross-Activity coordination of this nature. Particular attention will be given to building synergies between PHN activities in HIV/AIDS and activities in food security, economic growth and conflict and democracy. Special focus will be given to involving non-presence countries in population, health, and nutrition regional networking and partnership activities.

**Possible Adjustments to Plans:**

The pressure of the continuing and accelerating spread of HIV/AIDS in the region compounds the already high rates of infant, child and maternal mortality and morbidity in the region and overwhelms already weak health systems. African government and donor attention to addressing the HIV/AIDS pandemic requires a comprehensive and sustained approach. At the same time, it will be critical to balance programs in HIV/AIDS with sustainable activities in maternal and child health and nutrition, reproductive health, and infectious disease to enable institutions in the region to effectively address the broad range of health issues confronting the ESA region.

**Other Donor Programs:**

In implementing activities, REDSO/ESA and its partners will continue to collaborate on regional activities with a broad range of donors, including the UNFPA, UNICEF, Rockefeller Foundation, World Bank, International Planned Parenthood Federation, European Union, and Gates Foundation. African and CA partners will continue to give focus to diversification and leveraging of funds for regional program activities.

**Major Contractors and Grantees:**

Regional Center for Quality of Health Care, Centre for African Family Studies, Commonwealth Regional Health Community Secretariat, TRH/MNH/JHPIEGO, POLICY Project, CHANGE, IMPACT, HPSS, DELIVER, Rational Pharmaceutical Management Project, LINKAGES, FANTA, and Tuberculosis Coalition.

### **R4 Part III: RESOURCE REQUEST**

The new five-year strategy (2001 – 2005) for REDSO/ESA was approved in Washington in August 2000. It builds on lessons learned under previous strategy and focuses on enhancing African capacity to achieve food security, managing conflict and improved health services. During this reporting period, REDSO/ESA will report results against the previous strategy and request for funding for FY 2001, 2002 and 2003 under the new strategy. Unlike the last two years, during FY 2001 and future years, the resource request for Somalia and Sudan will be made under newly approved Integrated Strategic Plans (ISPs). Resources are also being requested in the Burundi Annex of the REDSO/ESA R4.

Despite significant staff time dedicated to developing the new strategy, REDSO/ESA has been successful across all its SOs, meeting or exceeding targets this past year. In SSO 1, REDSO/ESA surpassed the target for service provision to client USAID missions. In SO 2 REDSO/ESA's Population, Health, Nutrition (PHN), Agriculture, Environment/Natural Resources Management (E/NRM) and Economic Growth activities over the past year have in most cases exceeded all anticipated program targets. In SO 3 the reporting year saw an increase in the number of African institutions that are being strengthened to conduct food security, conflict management and information activities--in most cases exceeding targets. This all took place while taking on expanded regional implementation activities in strengthening regional partners (e.g., IGAD, COMESA, ASARECA and CRHCS).

With the sector controls we have received for FY 2001 and FY 2002, there are major disconnects between the funding available and efforts needed to have a regional impact in achieving results under the new strategy--achieving food security, managing conflict and providing health services. This is due to greatly decreased EG, DG, Population and Infectious Diseases funds. REDSO/ESA will therefore be forced to cut back on food security, conflict and health activities. Instead of the strategy approved level of \$19.2 million per year, REDSO/ESA will receive \$16.786 million (\$17.784 million including Burundi \$.998 million HIV/AIDS funds) during FY 2001 and \$18.432 million during FY 2002. This results to a shortfall of \$3.182 million against the life of objective funding (LOOF). Since Somalia and Sudan both have approved ISPs, upward adjustment of their bilateral program funding should mean a reduction of the REDSO/ESA's regional program.

The detailed budget request for FYs 2001, 2002 and 2003 are in the attached Program Request Tables. Funding for FY 2001, 2002 and 2003 is being requested under the new strategy.

**SO 5: Enhanced African Capacity to Achieve Regional Food Security** – In addition to its focus on improving partner capacity, this strategic objective has three thematic areas: improving livelihoods, increasing trade and enhancing early warning systems so that humanitarian and development resources are more strategically allocated. Results are anticipated in four specific areas: regional organizations strengthened, improved regional availability of appropriate technologies and practices, increased networking and cooperation, and selected policy, regulatory and procedural changes for regional harmonization accepted. Funding requested for SO 5: FY 2001 - \$7.623 million; FY 2002 Request - \$8.71 million; FY 2002 Alternate - \$11.891 million; FY 2003 - \$11.891 million.

**SO 6: Enhanced Capacity for Managing Conflict in the Region** - The focus of this strategic objective is to increase the supply of key components to conflict management in the region, in order to channel potentially violent conflict into constructive peace activities through the provision of platforms to key stakeholders. Three key intermediate results are necessary to achieve this objective: African conflict management organizations strengthened, through leadership and capacity-building; increased number of best practices, through identification of successful activities and dissemination to peace practitioners; and increased communications among stakeholders in conflict situations, including building regional networks and systems. Funding requested for SO 6: FY 2001 - \$3.442 million; FY 2002 Request - \$2.839 million; FY 2002 Alternate - \$4.527 million; FY 2003 - \$4.527 million.

**SO 7: Enhanced Regional Capacity to Improve Health Systems** – The SO focuses on: strengthening the institutional capacity and sustainability of regional partner institutions to expand African leadership in the sector; expanding the base of human, technical and program resources available to improve systems throughout the region; increasing the analysis, dissemination and application of information to enhance sector programs; and, enhancing the policy environment by improving regional advocacy and dialogue on policy issues in key technical areas that include HIV/AIDS, maternal and child health and nutrition, reproductive health, infectious disease, and health care financing. Funding requested for SO 7: FY 2001 - \$6.719 million (including Burundi \$.998, HIV/AIDS); FY 2002 Request - \$6.783 million; FY 2002 Alternate - \$8.782 million; FY 2003 - \$8.782 million.

#### Pipeline Levels

REDSO/ESA has accurately identified all the old pipeline accounts and is following a disciplined expenditure plan that will assure that older funds are disbursed first. Our expenditure targets will result in 1999 and prior year funds being expended by the end of FY 2001. REDSO/ESA anticipates that by end of FY 2002, the pipeline for FY 2000 and prior years will be expended if the current expenditure burn rate continues. All FY 2000 and prior year pipeline is being reported under the old strategic plan. 60 % of REDSO/ESA's total pipeline is reported under SO 3, which includes significant funds for NPCs (Burundi, Somalia and Sudan), and funding provided to other GHA Missions for their bilateral activities/staff.

#### OE and Workforce Narrative: - Summary Statement

Complex-wide considerations:

The USAID Complex in Kenya consists of the Kenya Bilateral Mission, REDSO/ESA, and the OFDA Africa Regional Office (OFDA). Total staffing of the complex is currently 290, making it the second largest USAID presence overseas, after Egypt. The Executive Office (EXO) supports the entire complex but is organizationally located in the Kenya Mission, and thus the staffing, including two EXO direct hires, and the budget for the EXO is reflected therein. On the other hand, REDSO's RFMC performs voucher processing, payroll, accounting and other financial services not only for the Kenya mission and OFDA, but also for 22 other missions and operating units in the region, including the separate offices of USAID/Khartoum. REDSO also provides legal, Food for Peace and contracting support to the complex and region. Expendable

and non-expendable property are funded from REDSO and Kenya OE (OFDA pays its share with program funds) with one or the other organization funding these procurements as monies are available. These arrangements, along with the fact that all three organizations are located in the same facility, make it necessary to consider the budgets of the individual organizations as a whole when reviewing OE funding allocations

Because the EXO office is the single largest unit and supports the entire complex, the budget for USAID Kenya is inflated vis a vis other missions. Similarly, REDSO/RFMC consists of 37 staff supporting the entire ESA region (as do the Regional Legal and Regional Procurement Offices), in addition to the complex. As a consequence, any comparisons must take these regional responsibilities into consideration.

#### Background:

In the FY 2002 R4 submitted March 2000, the complex presented an extremely bleak picture in regards to our OE situation, noting in particular the extremely high cost for guard services in a country where the security situation was deteriorating. Absent some major changes in the funding/costs picture, REDSO would have required additional cuts in Direct Hire staffing – very serious steps that would have seriously affected our programs in the region.

Fortunately, the situation has improved significantly, thanks to several important changes in country and also because of the Kenya Complex's aggressive program of budget cutting. Notable changes are:

- ◆ The strengthened dollar vis-a-vis the shilling, from 70 in the last submission to 77 for 2001, and projected exchange rates of 78 for 2002 and 79 for 2003 (good for OE, but also a disturbing indication that the Kenyan economy continues to deteriorate).
- ◆ A much reduced guard bill as a result of a new contract (40 percent reduction), and a reduction in the number of guard posts stemming from steps taken to improve and expand the use of residential housing compounds.
- ◆ Reduced residential rental costs as a result of: holding annual rates to minimal increases; acquiring four residences by USAID (reducing residential rent requirements for the complex by \$80,000 a year) and the acquisition of eight residences by FBO (two of which USAID occupies, thereby reducing lease costs another \$40,000).
- ◆ No office rental payments are projected in 2003 as a result of the move to the new, USG-owned office building. Note, however, that, should the move be delayed, the complex will incur rent and supplemental OE will be required.
- ◆ Holding the line on FSN compensation increases. Although Washington recommended a higher wage increase this past year, USAID kept compensation increases to the level necessary to keep up with inflation. This OE budget assumes that the inflation level will continue at around 5 percent and that our competitors (UN, private sector) do not significantly increase wages.
- ◆ Other aggressive cost cutting measures have been taken, including: reducing overtime usage, changing back to a lodging-plus per diem method, identification of less costly sources of supply, using the VSAT for calls to the U.S. to avoid international long-distance charges, and allocating costs to program funds, instead of scarce OE, where appropriate. In addition we have greatly increased the level of in-county training being performed versus sending

personnel to the U.S. This includes the development of a Voucher Examiner Course and a Performance Management course by REDSO. These benefit not only the Kenya complex but the entire agency.

- ◆ Savings on the REDSO side, as a result of the unfortunate need to reduce USDH staffing from the level of 21 to 18 (reflected in 2002).

However, offsetting these very significant reductions is a marked rise in the cost of utilities, due to the drought and deterioration in infrastructure and to increases in the costs of fuel.

### **Additional Staffing Requirements:**

Also offsetting the savings is the need to make adjustments in REDSO's staffing to reflect major increases in demand on the complex.

REDSO/RFMC FMO: Just five years ago, RFMC USDH Controller staff numbered 4, along with 2 USDH in USAID/Kenya. Today, despite a larger, more complex portfolio to support including full servicing to the REDSO/ESA, Burundi, Somalia and Sudan (all under REDSO/ESA management), as well as DRC, Kenya, and Eritrea (where there are no USDH financial personnel); the fact that newly hired USDH Controllers occupy many posts in the region; and given the rapidly expanding programs in the REDSO non-presence portfolio (Sudan, Somalia and Burundi), there are only 3 USDH Controller positions. In other words, half the staff (3 versus 6) is doing literally twice the work of yore. REDSO/RFMC staff is stretched too thin trying to fill the region's numerous gaps and shortages. This short staffing results in serious vulnerabilities for the Agency. This additional direct hire financial management officer slot has therefore been included in the REDSO budget beginning 2002.

Assistant EXO (NEP or local-hire USPSC): The EXO shop consists of a senior USDH EXO, a deputy EXO (USDH), one local-hire USPSC housing coordinator, and 80 FSN staff. An additional USPSC/NEP is required for a two-to-three-year period. As noted in the introduction, the Kenya complex is the second largest overseas organization in the world. Over the last few years it has also become a far more complex environment in which to work with rapidly deteriorating infrastructure requiring that additional resources be applied to maintain operations. Examples are water delivery, extensive use of generators requiring more maintenance and fuel deliveries, more attention to communications upkeep, etc. Security continues to demand a great deal of attention on the part of the EXO. Staffing levels for the complex have continued to increase with the arrival of OFDA and growth in the Non-Presence Country (NPC) portfolio. Requests to provide assistance to other countries have also increased, including NPC and bilateral missions. While not officially a regional operation, the EXO is continually called upon to render assistance in the area of procurement, data management, and personnel operations in the region. On top of all this, the need to oversee and monitor the design and construction of the new office building (NOB) and manage the upcoming move places another burden on EXO. This is an enormous undertaking in and of itself and has/will place requirements on the EXO office well beyond their current capacity. REDSO has therefore included funding for the complex's third EXO position in its budget beginning in 2002.



NEPs:

The Kenya Complex offers a unique training ground for EXO and Controller NEPs. In requesting the above positions, we suggest that the agency consider the assignment of a NEP FMO to REDSO as well as a NEP EXO. With the varied programs, full range of services provided by these offices and senior EXO and RFMC Controller at post, there are few other USAID missions that can offer our new hires such well-rounded training. This is a win-win situation for both the Agency and the complex and should be seriously considered. It will require some adjustments in approved staffing levels however.

Complex Budget:

As a result of the significant savings realized per the above, and assuming: (1) the exchange rate remains in the upper 70's or higher; (2) inflation continues in check (most particularly wage inflation); and (3) the NOB is completed by March 2003, we will be able to live at the target levels in 2001, 2002 and 2003. This also assumes that we obtain direct hires for the additional Kenya Controller, REDSO FMO and EXO positions as requested above. Absent that, an additional \$366,000 will be required in 2002 and 2003 for the USPSC Controller, FMO and EXO positions.

As clearly indicated above, REDSO, as part of the Kenya Complex has aggressively slashed its OE budget requirements and as a result, will be able to live within the targets as long as the assumptions hold. However, we desperately require the additional staff. We therefore ask the Africa Bureau to provide the position ceilings requested to allow us to at least maintain the level of support and program implementation that REDSO has delivered in the past.

## CAPITAL INVESTMENT FUND NARRATIVE

Please refer to USAID/Kenya's submission for details related to the capital investment fund.

## USAID/SUDAN FY 2003 R4 - OE Budget Request Narrative

General:

The current USAID/Sudan's role is to monitor and report on OFDA funded activities/projects in Northern Sudan. These activities/projects are implemented by NGO's. USAID/Sudan has no other program activities. The current workforce consists of one USPSC (a Program Officer, funded by OFDA) and 15 FNPSC's (7 core and 8 security guards).

Overview of FY 2001OE Budget:

With the current workforce level of one USPSC program funded, two program funded FNPSC's Program Specialists and 13 OE funded FNPSC's, the approved FY 2001 OE budget is \$360,000 including ICASS cost of \$18,000. Total ICASS bill is \$30,330. Out of this amount, \$12,330 is program funded. The budget includes procurement costs of one light truck for \$25,000 to replace a 12 year-old truck. Procurement costs of office furniture/equipment of \$7,800 and two

PC's costing \$5,000 are included in this budget, along with \$4,000 which is budgeted for an office extension.

#### Overview of FY 2002 Budget:

FY 2002 OE budget is estimated at \$359,300 including ICASS of \$20,000. The budget amount of \$359,300 includes the salary costs and the in-country travel cost of the two FNPSCS Program Specialists. The costs of these two employees were funded by OFDA program funds in FY 2000 and FY 2001. OFDA advised that due to funding constraints it cannot continue the funding of these positions. However, OFDA will fund the international travel costs of the two employees.

#### Overview of FY 2003 Budget:

With the current staffing level, FY 2003 OE budget is estimated at \$359,400 including ICASS cost of \$20,000.

## Information Annex Topic: Environmental Impact

**Component 1. Plan for new or amended IEE or EA actions for coming year.** REDSO's strategy was provisionally approved in August 2000, and the Performance Management Plan is to be submitted by late Summer 2001. Planned Reg 216 actions are listed in the FY 01 column. All three new SOs will receive an SO-level IEE, to cover the planned obligation actions under the new SO structure, incorporating those of the foregoing SO. As in the past, REDSO's portfolio is largely in the arena of capacity building and policy change, with few implications for direct environmental impact. The objective, however, is to encourage a mainstreaming of environmental consciousness in the SO Teams and partners.

**Component 2. Compliance with previously approved IEEs or EAs.** Mission umbrella activities are essentially in compliance with their corresponding approved IEEs, or are being addressed, as reflected in the FY 00, FY 01 and Comments columns below. REDSO assumes responsibility for introducing appropriate environmental review and decision-making capacity to the partners implementing USAID-assisted activities. The emphasis is upon planning, monitoring and mitigation by our partners. Sub-grantee partners will be assisted in designing activities that take into account potential environmental impacts and their mitigation, including prevention and avoidance, and have implemented the activities with an environmental monitoring system in place. The partners have been or will be introduced into environmentally sound design and implementation through the Africa Bureau and REDSO Environmental Capacity Building course (ENCAP).

### USAID/REDSO/ESA Environmental Review Status, Plans and Schedule

ASSISTANCE ACTIVITIES	FY 00 and previous	FY 01 actions expected	Comments
<b>SO 2 Increased Utilization of Critical Information by USAID and other Decision Makers in the Region</b>			
GHA Food Security and Conflict Management: 623-1001	FY 98 28ghai1. iee. Cat Ex covers both SO2 and SO3 activities.	New SO-level IEEs will incorporate pertinent activities	EG, DG/Conflict, Ag, PHN, ENRM, Humanitarian/Transition Initiatives and Cross-cutting activities covered.
LSGA Commonwealth Regional Community Health Secretariat: 698-0483.23 (CRCHS)	FY 98 28redso3. iee Cat Ex.	New Health SO IEE will cover pertinent activities	Activities beyond current funding deferred. Incorporate in any consolidated Cat Ex/IEE.
Center for African Family Studies CAFS III Coop. Agreement PACD 2001	FY 94 Cat. Ex. For NGO T.A., training, research on sexual behavior	Support mechanism for CAFS re-examined in Health SO 7.	Env. review deferred until SO redesigned FY 2000. Incorporate in any consolidated Cat Ex/IEE.
Global Bureau: G/PHN Field Support	Regional Center for Quality Health Care (Makerere Univ.) and many other initiatives covered via G/PHN mechanisms	As new LSGAs and cooperative agreements are elaborated, environmental review actions will be conducted, poss. as a SO IEE	
Partnership for EG in ESA: 623-1001, 698-0546 & 698-0570 -- COMESA	FY 98 - 28redso2. iee. Activity extended	Future activities deferred. Amend or new SO specific Cat Ex/IEE.	No-cost extension. Incorporate in any consolidated Cat Ex/IEE.

<b>SO 3 Establish a Strong Basis for Implementation of the GHAI</b>			
GHA Food security and Conflict Management: 623-1001	FY 00 - 30redso1.iee replaced FY 99 28ghai1.iee for ASARECA and IARCs grants	Env. screening/review of sub-grants process to be initiated following training.	Sub-grants to be awarded following screening with NRM sustainability criteria
African Dialogue Center: 623-0005	FY 97 - 27ghai1. Cat Ex covered FY 97 only.	No additional funding; no action	Cost extension in 99-00; no significant change in activities.
Horn Africa Support Project: (HASP): 623-0006	FY98 - 27ghai2. Neg Det. w/ Conditions for env. screening/review of NGO grants and implementing IGAD profiles. Cat Ex for profile design.	Monitor env. screening/review process. Status reports periodically to BEO. IEE may be amended with new strategy.	Future of support to IGAD under review. To the extent apt, umbrella screening/review will be introduced.
<b>SO 5: Enhanced African Capacity to Achieve Regional Food security</b> – SO level IEE will be prepared by September 2001, to incorporate elements of above.			
<b>SO 6: Enhanced Capacity for Managing Conflicts in the Region</b> - SO level IEE will be prepared by September 2001, to incorporate elements of above.			
<b>SO 7: Enhanced Regional Capacity to Improve Health Systems</b> - SO level IEE will be prepared by September 2001, to incorporate elements of above.			

<b>Non Presence Countries</b>			
<b>Burundi</b>			
<b>Great Lakes Justice Initiative:</b> International Foundation for Election Systems & Search for Common Ground	Dialogue and conflict resolution fora. Technical assistance only -- categorically excludable	Activities limited to GLJI and humanitarian relief, do not require environmental compliance actions at present.	Currently GLJI (for DRC, Rwanda, Burundi) involves approaches which have no potential for environmental impact.
<b>Sudan ISP</b> - Environmental Impact and Compliance Information submitted separately with Sudan 2004 R4			
<b>Somalia ISP</b> - Environmental Impact and Compliance Information submitted separately with Somalia 2004 R4.			

**Burundi Annex**

**to the**

**REDSO/ESA**

**Results Review and Resources Request**

**FY 2003**

## **Part I: Overview and Factors Affecting Program Performance**

Burundi is pivotal to fostering peace in the Great Lakes region of East Africa. The conflict between the Hutu and Tutsi communities has caused massive displacement within Burundi and into neighboring countries. A drought that endured over several growing seasons into 2000 affected 700,000 people and caused near-famine conditions in parts of the country. The Arusha Peace Accord, brokered by Nelson Mandela and signed in August 2000, failed to secure a cease-fire and identify a transitional government acceptable to all parties. All of these conditions make Burundi a flash point that will continue to affect large parts of East Africa.

The continuing armed conflict and the failure to forge a successful peace accord are twin obstacles to reestablishing peace in Burundi. Yet in this challenging environment, USAID partners are made progress to help prepare the ground for civil society forces to play an important role guiding the country towards a peaceful transition. They also helped alleviate the privations thrust upon vulnerable groups afflicted by war, drought, and a deteriorating economy.

Despite rebel incursions into the capital, and continuing clashes between the army and insurgents in five provinces, USAID partners have been able to maintain or adapt their activities to meet the changing situation on the ground. Because USAID's program was designed to provide emergency assistance and to reinforce civil society in an environment of conflict, these security and operational challenges were anticipated. Whether security is disturbed in some areas or gradually becomes more stable, USAID partners will make the necessary changes to implement programs within the parameters of safety and operational requirements.

Factors that have most influenced progress are the continued fighting highlighted by rebel incursions into and around the capital and intermittent engagements between the army and insurgents in about 30% of the countryside. The fighting has forced more Burundians to flee their homes and internally displaced population that is now more than 400,000.

Insecurity has also restricted freedom of movement by air and road and raised the cost of fuel and other imported commodities. Partners providing assistance for health and food security are often forced to respond to emergency needs instead of carrying-out long-range programs. These constraints have complicated the planning process for demobilization and the implementation of follow-on development activities to solidify the peace accord and a transition to democracy.

A widespread malaria epidemic and increasing rates of HIV/AIDs infection in the countryside diminished the productivity of the workforce and impoverished surviving family members. A series of inadequate harvests depleted food stocks and contributed to malnutrition in several provinces. Along with the many other negative conditions, declining educational standards -- at every level -- have spurred many of the most qualified Burundians to leave the country and made civil service recruitment and relations with counterparts more difficult.

The United States cannot solve Burundi's problems. But the USG assistance program can assist Burundians trying to lessen the conflict to build bridges between Hutus and Tutsis and encourage democracy as a means to ending the ethnic strife. At the same time, targeted humanitarian relief,

including food aid, will help the most vulnerable communities affected by the conflict and lack of rain. If a genuine cease-fire takes hold, the USG assistance program can expand to address the fundamental inequalities in Burundi that impoverish rural people and feed the cycle of conflict and violence.

## **Part II: Results Review for the Transition Action Plan Objective**

**COUNTRY/ORGANIZATION:** Burundi

**OBJECTIVE ID:** 695-005

**OBJECTIVE NAME:** Foundation for a Peaceful Transition in Burundi Established

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**Operating Unit Self-Assessment:** Exceeding Expectations

### **Primary Links to Agency Strategic Framework:**

20% 2.1 Rule of law and respect for human rights of women as well as men strengthened  
10% 2.2 Credible and competitive political processes encouraged  
40% 2.3 The development of politically active civil society promoted  
10% 2.4 More transparent and accountable government institutions encouraged  
10% 6.2 Personal security and basic institutions to meet critical intermediate needs and protect human rights re-established

**Link to National Interest:** Democracy and Human Rights

**Primary Link to MPP Goals:** Democracy and Human Rights

**Secondary Link to MPP Goals:** Regional Stability

### **Summary:**

In spite of the partial success of the Arusha talks facilitated by Mr. Mandela, an increasing intensity characterized the civil conflict in Burundi in the 2000 review period. Nonetheless, the achievements of USAID partners exceeded expectations, given the context in which they operate. Conflict mediation partners promoted the spread of democracy and the rule of law through work with civil society organizations, training, and broadcasting; launched advocacy programs to promote equal status for women and children; and initiated activities which help bridge the ethnic divide. U.S. NGOs fostered increased food production through agriculture extension services and women's cooperatives. Partners funded by the Office of Foreign Disaster Assistance reached vulnerable groups most affected by displacement from their homes and hardest hit by a malaria epidemic and malnutrition. Food aid provided by the Food for Peace Office targeted provinces severely afflicted by the conflict and by draught. Thus, a multi-faceted program of activities helped to create a foundation for achieving USAID's objective of helping to prepare the country for a transition to peace.

### **Key Results:**

Accomplishments that improved the environment for conflict reduction via strengthening civil society and independent media surpassed USAID expectations. And USAID's partners that provide emergency and food aid performed under severe conditions to ease the suffering of vulnerable groups.



Four Democracy and Governance partners completed legal registration in Burundi and became fully operational. Each has met or surpassed the tasks specified in their respective work plans. They are fully engaged in outreach training and public information activities. Each has established a base in Bujumbura, focusing on target groups of youth, women, and jurists, and they began to expand their presence into secure areas of rural Burundi's countryside. Partner field offices in southeast, center, and northern provinces jelled into a network which promotes synergy, technology exchange, training activities, and the dissemination of information throughout Burundi.

Several examples illustrate achievements:

Search for Common Ground's multi-ethnic youth group, "Gardons Contact", launched a series of soccer matches which enabled young people from the capital and provincial towns to meet and compete for the first time. "Gardons Contact" members also served on the frontline of coordinating emergency assistance and helping to resettle their neighbors displaced by fighting.

Search's Women's Center opened a breach in the polarized political environment to provide a secure and widening forum where women from diverse ethnic and socioeconomic backgrounds can meet, exchange views, and organize self-help activities. A Search-assisted agricultural association linked Hutu cultivators and Tutsi marketwomen for the first time since the 1996 war. At their year-end gathering a peasant woman spoke about the effects of HIV/AIDS on family stability and outlined an economic strategy to address the consequences. A group of educated women in the meeting were initially skeptical that they might learn anything from an illiterate woman but changed their views after her eloquent intervention.

IFES began implementation of a step-by-step outreach program to encourage young people to discuss issues which fuel acts of violence. Their trainers opened up communications to youth from relatively stable backgrounds who were still in school and to current or former street gang members who had spearheaded attacks on ethnic/political rivals. After a well-conceived series of discussions IFES succeeded in bringing the two groups together to discuss their problems. The young people expressed a common concern of being marginalized or manipulated by political chiefs -- from both ethnic camps.

During frank workshop discussions, and later in their first meals together, Hutu and Tutsi street fighters admitted that they participated in specific acts of violence and examined the consequences. As the details of specific incidents came out, the emotional level of the discussion rose. Family members and comrades of those involved were present. After several of these sessions, a form of mutual acceptance and recognition emerged among the former adversaries. One unexpected result of the process was a bond of trust between Tutsi and Hutu gang leaders. Their relationship became a key factor in confronting and preventing acts of violence advocated by political extremists.

Partners providing food and emergency assistance also produced concrete results. In the southeastern part of the country bordering Tanzania, Catholic Relief Services provided seeds to refugees returning from the cross-border camps so that they were able to plant new crops in their

home fields. In central Karuzi province the poorest in Burundi, OFDA's food security program helped improve food production for 9,000 farm families. Due to drought and insecurity, the program fell short of the planned indicator for seed availability and production. But implementation partner World Vision Relief and Development partner met its objective of providing micro-enterprise loans to 500 households. To address a rate of infant malnutrition up to 23.8 percent in the province, USAID partners responded with emergency feeding assistance and increased food stocks in an effort to reduce the incidence of malnutrition to five percent.

Despite official intimidation, an independent radio station, Ijambo, continued to produce objective, insightful programming, exploring security-related, political, and historical topics that Burundians care about most. The impact of USAID's programs is reinforced by radio broadcasts which cover and connect inter-related activities. These are as diverse as a women's initiative to reach across the ethnic divide to identify consequences of the violence, and the creation of self-help solutions for reconciliation such as voluntary assistance, childcare, and support visits to the recently displaced. When, for example, women hiked into the hills to support rural families displaced in the fighting whose plight was less visible than those left homeless in the capital, the gesture paid off. Such solutions, small as they may seem, helped bridge the ethnic and regional fault lines and will provide a long-term payoff..

### **Performance and Prospects:**

The performance of USAID's partners has exceeded expectations. The on-going conflict makes working in the countryside dangerous and most of the expatriate NGO managers cannot personally monitor field activities. Nonetheless, all partners seem to have assembled highly competent and dedicated staff -- local and expatriate -- and implementation proceeds. Democracy and governance activities increased and partners began to expand geographically, responding to USAID's interest in correcting the imbalance of assistance targeted to the capital city versus what goes to rural areas.

Partners are steadily developing the skills of a cross-section of civic activists in three areas: inter-communal conflict mediation, issue advocacy vis-a-vis the media and government officials, and project identification and execution for local NGOs. In an initial implementation phase, USAID partners helped participants open dialogues with recent adversaries, confront past acts of violence, and focus on common concerns and aspirations. Participants began to develop communication and mediation tools. In the follow-on phase participants began to apply these skills in their neighborhoods and hill villages to help alleviate inter-communal tensions and threats of violence. Given the reception by target beneficiaries of these interventions, USAID expects them to increase and diffuse among greater numbers of people and wider geographic areas.

Without changing overall activity objectives, individual partners may need to adapt their interventions, if access to certain areas of the country be closed, if fighting in the capital disrupts normal working life for an extended period, or if the current -- or successor -- government restricts the operations of a USAID partner.

Prospects for a cease-fire, implementation of the peace accord, and a transition to democracy appear mixed in the short-term. USAID will continue to implement activities to promote reconciliation, justice system improvement, civil society expansion, public education via peace radio, and a greater engagement of women in the process of reconciliation, rehabilitation, and development. A significant portion of FY 2001 program funds will be devoted to rural areas. Emergency and food aid activities and funding levels and activities targeting the most vulnerable groups will remain similar to FY 2000 levels.

### **Part III: Resource Request**

The FY 2003 and out-year resource request for Burundi is seen in the consolidated REDSO request.

**ENV Sub-Directive Amounts for FY 2001 Request**

COUNTRY	REDSO/ESA/GHAI					
S.O. # , Title	Total	Global climate change	Biodiversity	Environmentally sound energy	Urban and pollution prevention	Natural resource management
SSO 1: Effective Program and Technical Support to All ESA Missions	0	0	0	0	0	0
SO 2: Increased Utilization of Critical Information by USAID and other Decision-Makers in the Region	0	0	0	0	0	0
SO 3: Establish a Strong Basis for Implementation of Greater Horn of Africa Initiative (GHAI)	0	0	0	0	0	0
SO 4: Effective Delivery of USAID's Humanitarian Assistance	0	0	0	0	0	0
SO 5: Enhanced African Capacity To Achieve Regional Food Security	1,401	0	310	0	0	1,091
SO 6: Enhanced Capacity For Managing Conflict in the Region	0	0	0	0	0	0
SO 7: Enhanced Regional Capacity to Improve Health Systems	0	0	0	0	0	0
<b>TOTAL PROGRAM</b>	1,401	0	310	0	0	1,091

[List of Objective ID numbers](#)

**ENV Sub-Directive Amounts for FY 2002 Request**

COUNTRY	REDSO/ESA/GHAI					
S.O. # , Title	Total	Global climate change	Biodiversity	Environmentally sound energy	Urban and pollution prevention	Natural resource management
SSO 1: Effective Program and Technical Support to All ESA Missions	0	0	0	0	0	0
SO 2: Increased Utilization of Critical Information by USAID and other Decision-Makers in the Region	0	0	0	0	0	0
SO 3: Establish a Strong Basis for Implementation of Greater Horn of Africa Initiative (GHAI)	0	0	0	0	0	0
SO 4: Effective Delivery of USAID's Humanitarian Assistance	0	0	0	0	0	0
SO 5: Enhanced African Capacity To Achieve Regional Food Security	1,549	0	209	0	0	1,340
SO 6: Enhanced Capacity For Managing Conflict in the Region	0	0	0	0	0	0
SO 7: Enhanced Regional Capacity to Improve Health Systems	0	0	0	0	0	0
<b>TOTAL PROGRAM</b>	1,549	0	209	0	0	1,340

[List of Objective ID numbers](#)

**ENV Sub-Directive Amounts for FY 2002 Alternate**

COUNTRY	REDSO/ESA/GHAI					
S.O. # , Title	Total	Global climate change	Biodiversity	Environmentally sound energy	Urban and pollution prevention	Natural resource management
SSO 1: Effective Program and Technical Support to All ESA Missions	0	0	0	0	0	0
SO 2: Increased Utilization of Critical Information by USAID and other Decision-Makers in the Region	0	0	0	0	0	0
SO 3: Establish a Strong Basis for Implementation of Greater Horn of Africa Initiative (GHAI)	0	0	0	0	0	0
SO 4:Effective Delivery of USAID's Humanitarian Assistance	0	0	0	0	0	0
SO 5: Enhanced African Capacity To Achieve Regional Food Security	2,100	0	420	0	0	1,680
SO 6: Enhanced Capacity For Managing Conflict in the Region	0	0	0	0	0	0
SO 7: Enhanced Regional Capacity to Improve Health Systems	0	0	0	0	0	0
<b>TOTAL PROGRAM</b>	2,100	0	420	0	0	1,680

[List of Objective ID numbers](#)

ENV Sub-Directive Amounts for FY 2003 Request

COUNTRY	REDSO/ESA/GHAI					
S.O. # , Title	Total	Global climate change	Biodiversity	Environmentally sound energy	Urban and pollution prevention	Natural resource management
SSO 1: Effective Program and Technical Support to All ESA Missions	0	0	0	0	0	0
SO 2: Increased Utilization of Critical Information by USAID and other Decision-Makers in the Region	0	0	0	0	0	0
SO 3: Establish a Strong Basis for Implementation of Greater Horn of Africa Initiative (GHAI)	0	0	0	0	0	0
SO 4: Effective Delivery of USAID's Humanitarian Assistance	0	0	0	0	0	0
SO 5: Enhanced African Capacity To Achieve Regional Food Security	2,100	0	420	0	0	1,680
SO 6: Enhanced Capacity For Managing Conflict in the Region	0	0	0	0	0	0
SO 7: Enhanced Regional Capacity to Improve Health Systems	0	0	0	0	0	0
<b>TOTAL PROGRAM</b>	2,100	0	420	0	0	1,680

[List of Objective ID numbers](#)

**CSD Sub-Directive Amounts for FY 2001 Request**

COUNTRY:	REDSO/ESA/GHAI								
S.O. # , Title	Total	Child Survival/Maternal Health			Vulnerable Children		Other Infectious Diseases*		
		Primary causes	Polio	Micronutrients	DCOF	HIV/AIDS	TB	Malaria	"Other"
SSO 1: Effective Program and Technical Support to All ESA Missions									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 2: Increased Utilization of Critical Information by USAID and other Decision-Makers in the Region									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 3: Establish a Strong Basis for Implementation of Greater Horn of Africa Initiative (GHAI)									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 4: Effective Delivery of USAID's Humanitarian Assistance									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 5: Enhanced African Capacity to Achieve Regional Food Security									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 6: Enhanced Capacity for Managing Conflict in the Region									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 7: Enhanced Regional Capacity to Improve Health Systems									
CSD	5,514	1,590	0	350	0	2,680	395	499	0
Other	0	0	0	0	0	0	0	0	0
	5,514	1,590	0				395	499	0
TOTAL CSD									
TOTAL CSD	5,514	1,590	0	350	0	2,680	395	499	0
TOTAL Other	0	0	0	0	0	0	0	0	0
	5,514	1,590	0	0	0	0	395	499	0

Note: All funding for Malaria should now come from Infectious Diseases



**CSD Sub-Directive Amounts for FY 2002 Request**

COUNTRY:	REDSO/ESA/GHAI								
S.O. # , Title	Total	Child Survival/Maternal Health			Vulnerable Children		Other Infectious Diseases*		
		Primary causes	Polio	Micronutrients	DCOF	HIV/AIDS	TB	Malaria	"Other"
SSO 1: Effective Program and Technical Support to All ESA Missions									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 2: Increased Utilization of Critical Information by USAID and other Decision-Makers in the Region									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 3: Establish a Strong Basis for Implementation of Greater Horn of Africa Initiative (GHAI)									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 4: Effective Delivery of USAID's Humanitarian Assistance									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 5: Enhanced African Capacity to Achieve Regional Food Security									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 6: Enhanced Capacity for Managing Conflict in the Region									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 7: Enhanced Regional Capacity to Improve Health Systems									
CSD	5,582	1,500	0	400	0	3,682	0	0	0
Other	0	0	0	0	0	0	0	0	0
	5,582	1,500	0				0	0	0
TOTAL CSD	5,582	1,500	0	400	0	3,682	0	0	0
TOTAL Other	0	0	0	0	0	0	0	0	0
	5,582	1,500	0	0	0	0	0	0	0

Note: All funding for Malaria should now come from Infectious Diseases

**CSD Sub-Directive Amounts for FY 2002 Alternate Request**

COUNTRY:	RED SO/ESA/GHAI								
S.O. # , Title	Total	Child Survival/Maternal Health			Vulnerable Children		Other Infectious Diseases*		
		Primary causes	Polio	Micronutrients	DCOF	HIV/AIDS	TB	Malaria	"Other"
SSO 1: Effective Program and Technical Support to All ESA Missions									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 2: Increased Utilization of Critical Information by USAID and other Decision-Makers in the Region									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 3: Establish a Strong Basis for Implementation of Greater Horn of Africa Initiative (GHAI)									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 4: Effective Delivery of USAID's Humanitarian Assistance									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 5: Enhanced African Capacity to Achieve Regional Food Security									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 6: Enhanced Capacity for Managing Conflict in the Region									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 7: Enhanced Regional Capacity to Improve Health Systems									
CSD	6,882	1,590	0	400	520	3,682	410	280	0
Other	0	0	0	0	0	0	0	0	0
	6,882	1,590	0				410	280	0
TOTAL CSD									
TOTAL Other	6,882	1,590	0	400	520	3,682	410	280	0
	0	0	0	0	0	0	0	0	0
	6,882	1,590	0	0	0	0	410	280	0

Note: All funding for Malaria should now come from Infectious Diseases

**CSD Sub-Directive Amounts for FY 2003 Request**

COUNTRY:	RED SO/ESA/GHAI								
S.O. # , Title	Total	Child Survival/Maternal Health			Vulnerable Children		Other Infectious Diseases*		
		Primary causes	Polio	Micronutrients	DCOF	HIV/AIDS	TB	Malaria	"Other"
SSO 1: Effective Program and Technical Support to All ESA Missions									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 2: Increased Utilization of Critical Information by USAID and other Decision-Makers in the Region									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 3: Establish a Strong Basis for Implementation of Greater Horn of Africa Initiative (GHAI)									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 4: Effective Delivery of USAID's Humanitarian Assistance									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 5: Enhanced African Capacity to Achieve Regional Food Security									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 6: Enhanced Capacity for Managing Conflict in the Region									
CSD	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0
	0	0	0				0	0	0
SO 7: Enhanced Regional Capacity to Improve Health Systems									
CSD	6,882	1,590	0	400	520	3,682	410	280	0
Other	0	0	0	0	0	0	0	0	0
	6,882	1,590	0				410	280	0
TOTAL CSD									
TOTAL Other	0	0	0	0	0	0	0	0	0
	6,882	1,590	0	0	0	0	410	280	0

Note: All funding for Malaria should now come from Infectious Diseases

## FY 2001 Budget Request by Program/Country

Fiscal Year: 2001      Program/Country: REDSO/ESA/GHAI  
 Approp: DA/CSD  
 Scenario: Request

FY 2001 Request															
S.O. # , Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2001
SSO 1: Effective Program and Technical Support to All ESA Missions															
Bilateral	4,033	0	0	0	0	0	0	0	0	0	0	0	0	2,420	1,613
Field Spt	375	0	0	0	0	0	0	0	0	0	0	0	0	375	0
	4,408	0	0	0	0	0	0	0	0	0	0	0	0	2,795	1,613
SO 2: Increased Utilization of Critical Information by USAID and other Decision-Makers in the Region															
Bilateral	6,914	0	0	0	0	0	0	0	0	0	0	0	0	4,148	2,766
Field Spt	3,900	0	0	0	0	0	0	0	0	0	0	0	0	3,900	0
	10,814	0	0	0	0	0	0	0	0	0	0	0	0	8,048	2,766
SO 3: Establish a Strong Basis for Implementation of Greater Horn of Africa Initiative (GHAI)															
Bilateral	36,470	0	0	0	0	0	0	0	0	0	0	0	0	18,235	18,235
Field Spt	1,641	0	0	0	0	0	0	0	0	0	0	0	0	1,641	0
	38,111	0	0	0	0	0	0	0	0	0	0	0	0	19,876	18,235
SO 4: Effective Delivery of USAID's Humanitarian Assistance															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 5: Enhanced African Capacity to Achieve Regional Food Security															
Bilateral	0	7,573	3,347	2,875	0	0	0	0	0	0	0	1,351	0	379	7,194
Field Spt	0	50	0	0	0	0	0	0	0	0	0	50	0	0	50
	0	7,623	3,347	2,875	0	0	0	0	0	0	0	1,401	0	379	7,244
SO 6: Enhanced Capacity For Managing Conflict in the Region															
Bilateral	0	3,322	300	1,445	0	0	0	0	0	0	0	0	1,577	166	3,156
Field Spt	0	120	0	0	0	0	0	0	0	0	0	0	120	0	120
	0	3,442	300	1,445	0	0	0	0	0	0	0	0	1,697	166	3,276
SO 7: Enhanced Regional Capacity to Improve Health Systems															
Bilateral	0	3,580	0	180	0	0	680	1,670	200	850	0	0	0	179	3,401
Field Spt	0	3,139	0	0	0	0	345	270	694	1,830	0	0	0	0	3,139
	0	6,719	0	180	0	0	1,025	1,940	894	2,680	0	0	0	179	6,540
Total Bilateral	47,417	14,475	3,647	4,500	0	0	680	1,670	200	850	0	1,351	1,577	724	13,751
Total Field Support	5,916	3,309	0	0	0	0	345	270	694	1,830	0	50	120	0	3,309
<b>TOTAL PROGRAM</b>	<b>53,333</b>	<b>17,784</b>	<b>3,647</b>	<b>4,500</b>	<b>0</b>	<b>0</b>	<b>1,025</b>	<b>1,940</b>	<b>894</b>	<b>2,680</b>	<b>0</b>	<b>1,401</b>	<b>1,697</b>	<b>31,443</b>	<b>39,674</b>

### FY 2001 Request Agency Goal Totals

Econ Growth	8,147
Democracy	1,697
HCD	0
PHN	6,539
Environment	1,401
GCC (from all Goals)	0

### FY 2001 Account Distribution (DA only)

DA Program Total	12,270
CSD Program Total	5,514
<b>TOTAL</b>	<b>17,784</b>

Prepare one set of tables for each Fiscal Year (FY2001, FY2002, FY2003)

Prepare one set of tables for each appropriation Account

Tables for DA and CSD may be combined on one table.

For the DA/CSD Table, columns marked with (\*) will be funded from the CSD Account

## FY 2002 Budget Request by Program/Country

Fiscal Year: 2002      Program/Country: REDSO/ESA/GHAI  
 Approp: DA/CSD  
 Scenario: Request

FY 2002 Request															
S.O. # , Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2002
SSO 1: Effective Program and Technical Support to All ESA Missions															
Bilateral	1,613	0	0	0	0	0	0	0	0	0	0	0	0	1,613	0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	1,613	0	0	0	0	0	0	0	0	0	0	0	0	1,613	0
SO 2: Increased Utilization of Critical Information by USAID and other Decision-Makers in the Region															
Bilateral	2,766	0	0	0	0	0	0	0	0	0	0	0	0	2,766	0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	2,766	0	0	0	0	0	0	0	0	0	0	0	0	2,766	0
SO 3: Establish a Strong Basis for Implementation of Greater Horn of Africa Initiative (GHAI)															
Bilateral	18,235	0	0	0	0	0	0	0	0	0	0	0	0	18,235	0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	18,235	0	0	0	0	0	0	0	0	0	0	0	0	18,235	0
SO 4: Effective Delivery of USAID's Humanitarian Assistance															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 5: Enhanced African Capacity to Achieve Regional Food Security															
Bilateral	7,194	8,710	3,607	3,554	0	0	0	0	0	0	0	1,549	0	6,494	9,410
Field Spt	50	0	0	0	0	0	0	0	0	0	0	0	0	50	0
	7,244	8,710	3,607	3,554	0	0	0	0	0	0	0	1,549	0	6,544	9,410
SO 6: Enhanced Capacity For Managing Conflict in the Region															
Bilateral	3,156	2,719	40	736	0	0	0	0	0	0	0	0	1,943	2,794	3,081
Field Spt	120	120	0	0	0	0	0	0	0	0	0	0	120	120	120
	3,276	2,839	40	736	0	0	0	0	0	0	0	0	2,063	2,914	3,201
SO 7: Enhanced Regional Capacity to Improve Health Systems															
Bilateral	3,401	4,921	0	210	0	0	691	1,470	0	2,550	0	0	0	3,110	5,212
Field Spt	3,139	1,862	0	0	0	0	300	430	0	1,132	0	0	0	3,139	1,862
	6,540	6,783	0	210	0	0	991	1,900	0	3,682	0	0	0	6,249	7,074
Total Bilateral	36,365	16,350	3,647	4,500	0	0	691	1,470	0	2,550	0	1,549	1,943	12,398	17,703
Total Field Support	3,309	1,982	0	0	0	0	300	430	0	1,132	0	0	120	3,309	1,982
<b>TOTAL PROGRAM</b>	<b>39,674</b>	<b>18,332</b>	<b>3,647</b>	<b>4,500</b>	<b>0</b>	<b>0</b>	<b>991</b>	<b>1,900</b>	<b>0</b>	<b>3,682</b>	<b>0</b>	<b>1,549</b>	<b>2,063</b>	<b>38,321</b>	<b>19,685</b>

### FY 2002 Request Agency Goal Totals

Econ Growth	8,147
Democracy	2,063
HCD	0
PHN	6,573
Environment	1,549
GCC (from all Goals)	0

### FY 2002 Account Distribution (DA only)

DA Program Total	12,750
CSD Program Total	5,582
<b>TOTAL</b>	<b>18,332</b>

Prepare one set of tables for each Fiscal Year (FY2001, FY2002, FY2003)

Prepare one set of tables for each appropriation Account

Tables for DA and CSD may be combined on one table.

For the DA/CSD Table, columns marked with (\*) will be funded from the CSD Account

## FY 2002 ALT Budget Request by Program/Country

Fiscal Year: 2002 ALT Program/Country: REDSO/ESA/GHAI  
 Approp: DA/CSD  
 Scenario: Alternate

FY 2002 ALT Request															
S.O. #, Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2002 ALT
SSO 1: Effective Program and Technical Support to All ESA Missions															
Bilateral	1,613	0	0	0	0	0	0	0	0	0	0	0	0	1,613	0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	1,613	0	0	0	0	0	0	0	0	0	0	0	0	1,613	0
SO 2: Increased Utilization of Critical Information by USAID and other Decision-Makers in the Region															
Bilateral	2,997	0	0	0	0	0	0	0	0	0	0	0	0	2,997	0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	2,997	0	0	0	0	0	0	0	0	0	0	0	0	2,997	0
SO 3: Establish a Strong Basis for Implementation of Greater Horn of Africa Initiative (GHAI)															
Bilateral	18,235	0	0	0	0	0	0	0	0	0	0	0	0	18,235	0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	18,235	0	0	0	0	0	0	0	0	0	0	0	0	18,235	0
SO 4: Effective Delivery of USAID's Humanitarian Assistance															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 5: Enhanced African Capacity to Achieve Regional Food Security															
Bilateral	7,194	11,591	4,350	5,441	0	0	0	0	0	0	0	1,800	0	6,638	12,147
Field Spt	50	300	0	0	0	0	0	0	0	0	0	300	0	50	300
	7,244	11,891	4,350	5,441	0	0	0	0	0	0	0	2,100	0	6,688	12,447
SO 6: Enhanced Capacity For Managing Conflict in the Region															
Bilateral	3,156	4,407	0	770	0	0	0	0	0	0	0	0	3,637	2,878	4,685
Field Spt	120	120	0	0	0	0	0	0	0	0	0	0	120	120	120
	3,276	4,527	0	770	0	0	0	0	0	0	0	0	3,757	2,998	4,805
SO 7: Enhanced Regional Capacity to Improve Health Systems															
Bilateral	3,401	6,432	0	80	0	0	1,400	1,210	490	2,752	500	0	0	3,186	6,647
Field Spt	3,139	2,350	0	0	0	0	420	780	200	930	20	0	0	3,139	2,350
	6,540	8,782	0	80	0	0	1,820	1,990	690	3,682	520	0	0	6,325	8,997
Total Bilateral	36,596	22,430	4,350	6,291	0	0	1,400	1,210	490	2,752	500	1,800	3,637	12,702	23,479
Total Field Support	3,309	2,770	0	0	0	0	420	780	200	930	20	300	120	3,309	2,770
<b>TOTAL PROGRAM</b>	<b>39,905</b>	<b>25,200</b>	<b>4,350</b>	<b>6,291</b>	<b>0</b>	<b>0</b>	<b>1,820</b>	<b>1,990</b>	<b>690</b>	<b>3,682</b>	<b>520</b>	<b>2,100</b>	<b>3,757</b>	<b>38,856</b>	<b>26,249</b>

FY 2002 ALT Request Agency Goal Totals		
Econ Growth	10,641	
Democracy	3,757	
HCD	0	
PHN	8,702	
Environment	2,100	
GCC (from all Goals)	0	

FY 2002 ALT Account Distribution (DA only)		
DA Program Total	18,318	
CSD Program Total	6,882	
<b>TOTAL</b>	<b>25,200</b>	

Prepare one set of tables for each Fiscal Year (FY2001, FY2002, FY2003)  
 Prepare one set of tables for each appropriation Account  
 Tables for DA and CSD may be combined on one table.  
 For the DA/CSD Table, columns marked with (\*) will be funded from the CSD Account.

## FY 2003 Budget Request by Program/Country

Fiscal Year: 2003      Program/Country:  
 Approp: DA/CSD  
 Scenario: Request

FY 2003 Request															
S.O. # , Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2003
SSO 1: Effective Program and Technical Support to All ESA Missions															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 2: Increased Utilization of Critical Information by USAID and other Decision-Makers in the Region															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 3: Establish a Strong Basis for Implementation of Greater Horn of Africa Initiative (GHA)															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 4: Effective Delivery of USAID's Humanitarian Assistance															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 5: Enhanced African Capacity to Achieve Regional Food Security															
Bilateral	9,410	11,591	4,350	5,441	0	0	0	0	0	0	0	1,800	0	15,121	5,880
Field Spt	0	300	0	0	0	0	0	0	0	0	0	300	0	0	300
	9,410	11,891	4,350	5,441	0	0	0	0	0	0	0	2,100	0	15,121	6,180
SO 6: Enhanced Capacity For Managing Conflict in the Region															
Bilateral	3,081	4,407	0	770	0	0	0	0	0	0	0	0	3,637	5,718	1,770
Field Spt	120	120	0	0	0	0	0	0	0	0	0	0	120	120	120
	3,201	4,527	0	770	0	0	0	0	0	0	0	0	3,757	5,838	1,890
SO 7: Enhanced Regional Capacity to Improve Health Systems															
Bilateral	5,212	6,432	0	80	0	0	1,400	1,210	490	2,752	500	0	0	7,838	3,806
	1,862	2,350	0	0	0	0	420	780	200	930	20	0	0	1,862	2,350
	7,074	8,782	0	80	0	0	1,820	1,990	690	3,682	520	0	0	9,700	6,156
Total Bilateral	17,703	22,430	4,350	6,291	0	0	1,400	1,210	490	2,752	500	1,800	3,637	28,677	11,456
Total Field Support	1,982	2,770	0	0	0	0	420	780	200	930	20	300	120	1,982	2,770
<b>TOTAL PROGRAM</b>	<b>19,685</b>	<b>25,200</b>	<b>4,350</b>	<b>6,291</b>	<b>0</b>	<b>0</b>	<b>1,820</b>	<b>1,990</b>	<b>690</b>	<b>3,682</b>	<b>520</b>	<b>2,100</b>	<b>3,757</b>	<b>30,659</b>	<b>14,226</b>

### FY Program/Country: Request Agency Goal Totals

Econ Growth	10,641
Democracy	3,757
HCD	0
PHN	8,702
Environment	2,100
GCC (from all Goals)	0

### FY 2003 Account Distribution (DA only)

DA Program Total	18,318
CSD Program Total	6,882
<b>TOTAL</b>	<b>25,200</b>

Prepare one set of tables for each Fiscal Year (FY2001, FY2002, FY2003)

Prepare one set of tables for each appropriation Account

Tables for DA and CSD may be combined on one table.

For the DA/CSD Table, columns marked with (\*) will be funded from the CSD Account

## FY 2001 Budget Request by Program/Country

Fiscal Year: 2001      Program/Country: REDSO/ESA/GHAI  
 Approp: ESF  
 Scenario:

FY 2001 Request															
S.O. # , Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2001
SSO 1: Effective Program and Technical Support to All ESA Missions															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 2: Increased Utilization of Critical Information by USAID and other Decision-Makers in the Region															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 3: Establish a Strong Basis for Implementation of Greater Horn of Africa Initiative (GHAI)															
Bilateral	8,254	0	0	0	0	0	0	0	0	0	0	0	0	4,127	4,127
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		
	8,254	0	0	0	0	0	0	0	0	0	0	0	0	4,127	4,127
SO 4: Effective Delivery of USAID's Humanitarian Assistance															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 5: Enhanced African Capacity to Achieve Regional Food Security															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6: Enhanced Capacity For Managing Conflict in the Region															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7: Enhanced Regional Capacity to Improve Health Systems															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral	8,254	0	0	0	0	0	0	0	0	0	0	0	0	4,127	4,127
Total Field Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>TOTAL PROGRAM</b>	<b>8,254</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>4,127</b>	<b>4,127</b>

FY 2001 Request Agency Goal Totals	
Econ Growth	0
Democracy	0
HCD	0
PHN	0
Environment	0
GCC (from all Goals)	0

FY 2001 Account Distribution (DA only)	
DA Program Total	0
CSD Program Total	0
<b>TOTAL</b>	<b>0</b>

Prepare one set of tables for each Fiscal Year (FY2001, FY2002, FY2003)  
 Prepare one set of tables for each appropriation Account  
 Tables for DA and CSD may be combined on one table.  
 For the DA/CSD Table, columns marked with (\*) will be funded from the CSD Account



## FY 2002 Budget Request by Program/Country

Fiscal Year: 2002      Program/Country: REDSO/ESA/GHAI  
 Approp: ESF  
 Scenario:

FY 2002 Request															
S.O. # , Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2002
SSO 1: Effective Program and Technical Support to All ESA Missions															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 2: Increased Utilization of Critical Information by USAID and other Decision-Makers in the Region															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 3: Establish a Strong Basis for Implementation of Greater Horn of Africa Initiative (GHAI)															
Bilateral	4,127	0	0	0	0	0	0	0	0	0	0	0	0	4,127	0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	4,127	0	0	0	0	0	0	0	0	0	0	0	0	4,127	0
SO 4: Effective Delivery of USAID's Humanitarian Assistance															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 5: Enhanced African Capacity to Achieve Regional Food Security															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6: Enhanced Capacity For Managing Conflict in the Region															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7: Enhanced Regional Capacity to Improve Health Systems															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral	4,127	0	0	0	0	0	0	0	0	0	0	0	0	4,127	0
Total Field Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>TOTAL PROGRAM</b>	<b>4,127</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>4,127</b>	<b>0</b>

FY 2002 Request Agency Goal Totals	
Econ Growth	0
Democracy	0
HCD	0
PHN	0
Environment	0
GCC (from all Goals)	0

FY 2002 Account Distribution (DA only)	
DA Program Total	0
CSD Program Total	0
<b>TOTAL</b>	<b>0</b>

Prepare one set of tables for each Fiscal Year (FY2001, FY2002, FY2003)  
 Prepare one set of tables for each appropriation Account  
 Tables for DA and CSD may be combined on one table.  
 For the DA/CSD Table, columns marked with (\*) will be funded from the CSD Account

## FY 2002 ALT Budget Request by Program/Country

Fiscal Year: 2002 ALT Program/Country: REDSO/ESA/GHAI  
 Approp: ESF  
 Scenario:

FY 2002 ALT Request															
S.O. # , Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2002 ALT
SSO 1: Effective Program and Technical Support to All ESA Missions															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 2: Increased Utilization of Critical Information by USAID and other Decision-Makers in the Region															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 3: Establish a Strong Basis for Implementation of Greater Horn of Africa Initiative (GHAI)															
Bilateral	4,127	0	0	0	0	0	0	0	0	0	0	0	0	4,127	0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	4,127	0	0	0	0	0	0	0	0	0	0	0	0	4,127	0
SO 4: Effective Delivery of USAID's Humanitarian Assistance															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 5: Enhanced African Capacity to Achieve Regional Food Security															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6: Enhanced Capacity For Managing Conflict in the Region															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7: Enhanced Regional Capacity to Improve Health Systems															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral	4,127	0	0	0	0	0	0	0	0	0	0	0	0	4,127	0
Total Field Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>TOTAL PROGRAM</b>	<b>4,127</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>4,127</b>	<b>0</b>

FY 2002 ALT Request Agency Goal Totals	
Econ Growth	0
Democracy	0
HCD	0
PHN	0
Environment	0
GCC (from all Goals)	0

FY 2002 ALT Account Distribution (DA only)	
DA Program Total	0
CSD Program Total	0
<b>TOTAL</b>	<b>0</b>

Prepare one set of tables for each Fiscal Year (FY2001, FY2002, FY2003)  
 Prepare one set of tables for each appropriation Account  
 Tables for DA and CSD may be combined on one table.  
 For the DA/CSD Table, columns marked with (\*) will be funded from the CSD Account

## FY 2003 Budget Request by Program/Country

Fiscal Year: 2003      Program/Country: REDSO/ESA/GHAI  
 Approp: ESF  
 Scenario:

FY 2003 Request															
S.O. # , Title	Starting Pipeline	Total	Agri-culture	Other Economic Growth	Children's Basic Education (*)	Other HCD	Population	Child Survival & Maternal Health (*)	Other Infectious Diseases (*)	HIV/AIDS (*)	Vulnerable Children (*)	Environ	D/G	Est. S.O. Expenditures	Est. S.O. Pipeline End of 2003
SSO 1: Effective Program and Technical Support to All ESA Missions															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 2: Increased Utilization of Critical Information by USAID and other Decision-Makers in the Region															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 3: Establish a Strong Basis for Implementation of Greater Horn of Africa Initiative (GHAI)															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 4: Effective Delivery of USAID's Humanitarian Assistance															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 5: Enhanced African Capacity to Achieve Regional Food Security															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 6: Enhanced Capacity For Managing Conflict in the Region															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SO 7: Enhanced Regional Capacity to Improve Health Systems															
Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0		0
Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0		0
	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Bilateral	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Field Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>TOTAL PROGRAM</b>	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

FY 2003 Request Agency Goal Totals	
Econ Growth	0
Democracy	0
HCD	0
PHN	0
Environment	0
GCC (from all Goals)	0

FY 2003 Account Distribution (DA only)	
DA Program Total	0
CSD Program Total	0
<b>TOTAL</b>	0

Prepare one set of tables for each Fiscal Year (FY2001, FY2002, FY2003)  
 Prepare one set of tables for each appropriation Account  
 Tables for DA and CSD may be combined on one table.  
 For the DA/CSD Table, columns marked with (\*) will be funded from the CSD Account

## **Institutional and Organizational Development**

Organizational strengthening and capacity-building of regional non-governmental and inter-governmental organizations has been a central element of REDSO/ESA's strategy over the last five years under the REDSO/ESA regional and the Greater Horn of Africa Initiative (GHAI) strategies (see Strategic Objective Nos. 2 and 3 under previous REDSO/ESA strategy). Under the new strategy, approved August 2000, organizational strengthening and institutional development remain essential for the achievement and sustainability of the three new SOs – improved capacity to achieve regional food security, managing conflict in the region, and improved health care systems in the region (SO Nos. 5, 6 and 7 respectively).

Given the space limitations, this Annex will focus primarily on organizational development efforts in only two inter-governmental organizations – the Association for Support to Agricultural Research in East and Central Africa (ASARECA) and the Inter-Governmental Authority on Development (IGAD). This narrative will provide a brief description of what has been done to date, identify the future organizational strengthening efforts needed, and outline the networking and collaboration efforts which are a form of institutional development under the guidelines provided for this Annex.

ASARECA is a regional, non-political organization that brings together national agricultural research institutes (NARIs) from ten east and central African countries – Burundi, DROC(ongo), Eritrea, Ethiopia, Kenya, Madagascar, Rwanda, Sudan, Tanzania, and Uganda – and sets the regional agricultural research agendas for the member states. The “Committee of Directors” of ASARECA is composed of the directors of the NARIs from the ten member countries. This “Committee” sets policy for ASARECA programs, approves the budget and staff recruitment for ASARECA and various network coordinator positions, and coordinates research at the national level in order to reduce unessential duplication.

Over the past five years, REDSO/ESA has provided support both for the accounting and financial reporting system (including TA, hardware and software for automation) and for development of procurement policies and procurements. Both operations have now been certified as meeting USAID requirements for managing grant financing. In 1997 with USAID support ASARECA completed a comprehensive regional program strategy aimed at prioritizing major constraints to agricultural productivity in the region. The strategy was reviewed and adopted by a stakeholder forum including both public and private sector representatives from the region. REDSO/ESA is currently supporting the development of within the ASARECA Secretariat of a newly established program planning, monitoring and evaluation unit. REDSO/ESA has also supported five program activities within the ASARECA network: a Potato Network, a Bean Network, a Cassava Network, a market analysis/data processing network (FOODNET), and a Technology Transfer Project (for exploring innovative approaches to technology transfer).

The support for institutional strengthening provided by REDSO/ESA has contributed to ASARECA's ability to attract support from a broader donor community with greater resources than have been available from REDSO/ESA, as exemplified by a recent grant from the EU of \$30 million.

With further strengthening of program planning, monitoring and evaluation, an African-owned ASARECA is well-positioned to play a key role in furthering agricultural production, household income in the agricultural sector and contributing to increased food security in the region.

The second organization, the Inter-Governmental Authority on Development (IGAD), is an inter-governmental body originally created in the mid-1980s as the Inter-Governmental Authority on Drought and Desertification (IGADD) and “revitalized” in 1996 with a broader development mandate, including conflict resolution and humanitarian crises response roles. Within this broad mandate, IGAD is still struggling to identify its appropriate niche among and between other regional organizations (e.g., COMESA, EAC, OAU) and the member states, define its role in various sectors, and narrow its focus to a manageable set of critical activities. This problem is compounded by special interests of some of the donors and the member states. The latter are attempting to make IGAD a fundraiser for inter-state infrastructure projects; and the donors have pushed IGAD into the role of attempting to mediate within and among member states over conflicts, particularly the conflict in southern Sudan, which are frankly beyond the manageable influence of IGAD.

REDSO/ESA has in the last four years provided support and technical assistance for improving and automating the accounting and financial reporting system and in setting up procurement policies and procedures which satisfy USAID requirements. Consultants have designed a financial reporting format that all donors have agreed in principle to accept. The quality and accuracy of financial reporting has already reached a level above that of most USAID grant recipients in the region. In addition, support in the ICT area has provided an internal LAN system and e-mail and internet service to IGAD as well as assistance through IGAD, linking over six ministries in five (excluding Somalia and Sudan) of the seven member states to internet and e-mail service for information access and regional communication. These systems are highly appreciated by the member states as well as IGAD.

REDSO/ESA has informed IGAD that future assistance will be concentrated in three primary areas: (1) support of a conflict early warning system, (2) the development of policies and procedures to support IGAD’s efforts in cooperation with COMESA in trade harmonization and transport cost reduction, particularly as to the impact on the movement of agricultural products and production inputs in the region, and (3) support, consistent with our food security emphasis, in establishing a regional humanitarian crisis response mechanism. These efforts will be supported with continued capacity-building efforts with a shift to greater focus of capacity development in the technical areas related to the proposed assistance programs outlined in the preceding sentence.

IGAD still has a way to go to become a really effective regional development organization, but it is an essential organization for dealing with some of the development problems of the region. REDSO/ESA also proposes to contribute jointly with other donors to the financing for an external institutional assessment of the IGAD structure. Hopefully, this will provide both IGAD and the donor community with a “blueprint” for future institutional strengthening efforts.

There are similar success stories relative to our assistance to COMESA and to the three primary local partners in the health systems development area (Center for African Family Studies - CAFS, Commonwealth Regional Health Community Secretariat - CRHCS and Regional Center for Quality of Health Care - RCQHC). In addition, REDSO/ESA has supported grants plus institutional strengthening support to 19 regionally focussed African NGOs and training and institutional strengthening support to more than 70 additional NGOs working in the region on issues of conflict resolution and food security. These organizations are expected to be key to future efforts in building a broad base of support for USAID efforts in conflict resolution, food security and health services areas.

## **Information Annex Topic: Updated Results Framework Annex**

**Part A. Results Framework.** Provide a listing of the Operating Unit's Current Results Framework

<b>Strategic Objective 5:</b>	<b>Enhanced African Capacity to Achieve Regional Food Security</b>
Intermediate Result 5.1	Regional Organizations Strengthened
Intermediate Result 5.2	Improved Regional Availability of Appropriate Technologies/Practices
Intermediate Result 5.3	Increased Network and Cooperation
Intermediate Result 5.4	Selected Policy, Regulatory, and Procedural Changes Advocated by African Partners
<b>Strategic Objective 6:</b>	<b>Enhanced Capacity for Managing Conflict in the Region</b>
Intermediate Result 6.1	African Conflict Management Organizations Strengthened
Intermediate Result 6.2	Increased Use of Best Practices
Intermediate Result 6.3	Increased Networking Among Stakeholders in Conflict Situations
<b>Strategic Objective 7:</b>	<b>Enhanced Regional Capacity To Improve Health Systems</b>
Intermediate Result 7.1	Improved Viability of Regional Partner Institutions
Intermediate Result 7.2	Broadened Technical Resource Base
Intermediate Result 7.3	Expanded Utilization of Critical Information
Intermediate Result 7.4	Expanded Policy Dialogue

**Part B. New Indicator Reporting.** Provide a report of indicators from the Operating Unit's Performance Monitoring Plan that the Operating unit proposes to report on in next year's R4 submission which are different from the indicators currently being reported.

**\*\*This applies to on-going strategies only.** Indicators that will be used next year as part of a newly approved strategy need not be listed here.